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ABSTRACT

There are 20 papers in this collection from the Division of Collections and Services: "IFLA Division of Collections and Services" (Hope E. A. Clement); "Divisional Open Forum Reports" ("Section of Acquisition and Exchange" by Ulrich Montag; "Section of Government Information and Official Publications" by Bernadine Abbott Hoduski; "Section on Serial Publications" by Mary Sauer Price; "Section on Interlending and Document Delivery" by Rudolph Frankenberger; and "Section on Rare and Precious Books and Documents" by Richard Landon); "Collaborative Interdependence: The Human Dimensions of the Conspectus" (Paul H. Mosher); "Acquisitions in Sub-Saharan Africa: The Example of the Bibliotheque Nationale of Paris" (French and English versions; Paulette Lordereau); "The International Problem of Differential Pricing for Research Literature" (German and English versions; Rolf Griebel); "Depository System of Storage of Library Collections in the USSR" (Z. P. Sorokina and N. Z. Starodubova); "The Danish Repository Library for Public Libraries" (C. H. Henriksen); "The Problem of the Need" (Maurice B. Line); "Bibliographic Control and Interlending Aspects" (G. Gattermann); "Some Realistic Proposals to Overcome the Financial Barriers to International Document Delivery" (Graham P. Cornish); "Charging for Interlibrary Loans: A Proposal of No Interest?" (Etienne Hustache); "Adopting UNIMARC as a National Format: The Portuguese Experience" (Fernanda Maria Campos); "ISDS (International Serials Data System) Exchange Format" (French and English versions; Slawek Rozenfeld); "Serial Records, International Exchange, and the Common Communication Format" (Peter Simmons); "Forschung in einer Zeit der Sparpolitik und des Bibliothekswandels (Research in a Time of Fiscally Conservative Politics and Transformations of the Library)" (Bernhard Fabian); and "Rare Book Collections under Constraint, a Librarian's Point of View" (Mirjam M. Foot). (SD)

55e CONSEIL ET CONFÉRENCE GÉNÉRALE DE L'IFLA
PARIS, FRANCE
19-26 AOÛT 1989

55th IFLA COUNCIL AND GENERAL CONFERENCE
PARIS, FRANCE
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Brochure 50 / *Booklet 50*

DIVISION DES COLLECTIONS ET SERVICES
DIVISION OF COLLECTIONS AND SERVICES

RÉUNION PUBLIQUE DE LA DIVISION
OPEN FORUM OF THE DIVISION

Session 92 — lundi 21 août / *Monday 21 August* — 10:00 - 12:00

Divisional Open Forum Reports *(108-COLL-1-E-A + B + C + D)*

Ulrich MONTAG, Leiter der Erwerbungsabteilung, Bayerische Staatsbibliothek, München, Bundesrepublik Deutschland
Bernadine ABBOTT HODUSKI, Joint Committee on Printing, US Congress, Washington D.C., USA
Marie SAUER PRICE, Processing Services, Library of Congress, Washington D.C., USA
Rudolf FRANKENBERGER, Universitätsbibliothek, Ausburg, Bundesrepublik Deutschland

SECTION DES ACQUISITIONS ET DES ÉCHANGES
SECTION ON ACQUISITION AND EXCHANGE

Session 111 — mardi 22 août / *Tuesday 22 August* — 10:30 - 13:00

Collaborative Interdependence : The Human Dimensions of the Conspectus *(81-ACQUIS-1-E)*

Paul H. MOSHER, Vice Provost and Director of Libraries, University of Pennsylvania, Philadelphia, Pennsylvania, USA

Les Acquisitions en Afrique au Sud du Sahara : exemple de la Bibliothèque nationale de Paris, France *(103-ACQUIS-3-F)*

Paulette LORDEREAU, Conservateur au Service des acquisitions du Département des Entrées étrangères de la Bibliothèque nationale, Paris, France

Das internationale Problem der gespaltenen Preise für wissenschaftliche Literatur : Zwischenbericht über ein Projekt *(60-ACQUIS-2-G)*

Rolf GRIEBEL, Leiter der Erwerbungsabteilung, Universitätsbibliothek Erlangen-Nürnberg, Erlangen, Bundesrepublik Deutschland
Ulrich MONTAG, Leiter der Erwerbungsabteilung, Bayerische Staatsbibliothek, München, Bundesrepublik Deutschland

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SECTION DU PRÊT INTER-BIBLIOTHÈQUES ET DE LA FOURNITURE DES DOCUMENTS
SECTION ON INTERLENDING AND DOCUMENT DELIVERY

Session 104 — mardi 22 août / *Tuesday 22 August* — 08:00 - 10:30

Some realistic proposals to overcome the financial barriers to international document delivery *(19-INTL-1-E)*

Graham P. CORNISH, Research Officier, IFLA Office for International Lending, Boston Spa, UK

SECTION DES PUBLICATIONS EN SÉRIE
SECTION ON SERIAL PUBLICATIONS

Session 142 — mercredi 23 août / *Wednesday 23 August* — 15:15 - 17:45

Adopting UNIMARC as a national format : the Portuguese experience *(20-SER-1-E)*

Fernanda Maria CAMPOS, Head of Bibliographic Processing Department, Biblioteca Nacional, Portugal

Le Format d'échange ISDS *(42-SER-3-F)*

Slawek ROZENFELD, Centre International de l'ISDS, Paris, France

Serial Records, International Exchange and the Common Communication Format *(41-SER-2-E)*

Peter SIMMONS, School of Library, Archival and Information Studies, University of British Columbia, Vancouver, Canada

SECTION DES LIVRES ET DOCUMENTS RARES ET PRÉCIEUX
SECTION ON RARE AND PRECIOUS BOOKS AND DOCUMENTS

Session 120 — mardi 22 août / *Tuesday 22 August* — 14:30 - 17:00

Forschung in einer Zeit der Sparpolitik und des Bibliothekswandels *(56-RARE-2-G)*

Bernhard FABIAN, Professor of English, Westfälische Wilhelms-Universität, Münster, Bundesrepublik Deutschland

Rare book Collections under Constraint, a librarian's point of view *(55-RARE-1-E)*

Mirjam M. FOOT, Head of West European Collections, The British Library (HSS), London, UK

Divisional Open Forum Reports

SECTION OF ACQUISITION AND EXCHANGE, by Ulrich Montag

While in the 1960s and 1970s, problems in the area of international exchange of publications were definitely at the forefront of the work of this Section, since then general questions of collection development, critical examination of collections, and off-site storage in some instances have evolved into subjects of equal importance. Nevertheless, from 1985 to 1987, papers on exchange issues appeared regularly in the program of the Section. Indeed, together with Joachim-Felix Leonhard as chairman and Ulrich Montag as secretary (both from the Federal Republic of Germany) seven of the total of 19 members of the Standing Committee of the Section, who represent as a whole the experience and demands of research libraries in countries throughout the world, are concerned with questions of the international exchange of publications.

Most of these seven members are part of a subgroup, together with Peter Bridge (USA), Karl-Heinz Jugelt (GDR), M.S. Régnier (France), and Sieglinde Rooney (Canada). Since the IFLA Conference held in Brighton in 1987, this subgroup, under the leadership of Ulla Hofsgaard (Denmark), has been developing a questionnaire which is to be sent to the most important libraries of the world. It is intended to investigate the scope of international exchanges and their financial effectiveness. Other questions deal with the effectiveness of exchanges within the framework of the Universal Availability of Publications (UAP) and the formulation of principles for exchange policy. The project should be completed by 1990, and is then to be discussed or finalized at the IFLA Conference in Stockholm.

Another item planned in the area of exchanges is the international bibliography *International exchange of publications 1981-1990*, which is being worked on by Zoja P. Sorokina (USSR) together with Vilma Alberani (Italy). The decision to produce this fourth edition of the international exchange bibliography was made by the Section at the IFLA Conference in Chicago in 1986. It will be published by the Lenin State Library in Moscow.

In its overall layout, this bibliography follows the model of the one which appeared for the years 1971-1980, which was worked on by Vilma Alberani, B.P. Kanevskiy, and G.I. Verbovaya, and also published by the Lenin State Library (*International Exchange of Publications. Bibliographical index 1971-1980*, Moscow 1983).

Following the paper entitled *Information basis of international book exchange* in Brighton in 1987, Zoya P. Sorokina gave a comprehensive progress report at the IFLA Conference in Sydney in 1988. At the same time, the Section decided that in the future it would publish the collected new titles for each year in the Section Newsletter as early as the middle of the following year. This is planned for the first time for the 1988 data, in the first issue of such a newsletter in the summer of 1989.

In recent years, the price structure of library materials has become an increasing problem for acquisitions. Acquisitions librarians throughout the world are perceiving clearly that the information that they are supposed to collect is no longer comparable to a public good, but has become a very expensive article of merchandise.

In addition to the general, excessively high increases in the price of library materials, the policy of differential pricing, used by an increasing number of internationally important publishing companies, is a significant cause of the deteriorating purchasing power of libraries.

This policy is used to demand excessive prices from libraries in two ways: first in their capacity as libraries in contrast to private persons, secondly on the basis of the geographical location with regard to the country of origin of the literature.

Because even strongly worded expressions of protest by libraries against this procedure used by many publishing companies have not been able to achieve anything, the IFLA Section of Acquisitions and Exchange has taken on the problem. It hopes to attain international solidarity among librarians, so that they can act as a united front to oppose the increase in profits of publishing companies operating across national borders. To this end, Ulrich Montag opened the campaign with a paper entitle *Differential pricing in the international book market* at the IFLA general conference in Sydney in 1988. A revised version has since appeared in English in the 1989 *IFLA Journal* (Vol. 1.15, no. 1, p. 37-43). The investigating questionnaire announced in the paper was initially drafted in German by Rolf Griebel. It was discussed by the Section in Sydney, and then Ulrich Montag wrote a revised version in English, containing the final wording agreed upon in cooperation with other members of the Section.

In March 1989, about 500 copies were sent to research libraries and librarians associations in the English and German speaking countries. A French version was sent out in May, and a Spanish version will follow during the summer.

Rolf Griebel will be responsible for evaluating the questionnaires and, together with Ulrich Montag, will present an interim report at the Paris IFLA Conference in August 1989. The final report is planned for the IFLA Conference to be held in Stockholm in 1990. The Section will then know the opinions of the most important research libraries in the world regarding the problem of differential pricing. The Section will also endeavour, however, to have a representative of a publishing company express the point of view of the publishers on this contentious issue, so as to make possible a public discussion of this problem in the IFLA forum.

It is to be hoped that talks between IFLA committees and publishers' associations on the issue of differential pricing can then take place as soon as possible, in order to defuse the situation and avoid a direct confrontation. For, despite the advance of the electronic media, paper will continue to be the most important carrier of information, the price of which should be structured by publishers in such a way throughout the world that it is still comprehensible to librarians.

It should be possible to use the contacts established with publishers to discuss other issues of importance to libraries in the future.

A new subject area which has been gaining significance for research libraries recently is the separation from literature and the creation of repository libraries.

Back in 1985, P. Bryhn and P. Hallberg reported on a survey on *Deacquisition in university libraries* at the IFLA Conference held in Chicago. This was followed in Brighton in 1987 by B. Bergdahl's paper *National repository planning in Scandinavia*.

At the same time, B.J. Bergdahl began planning a workshop on the general subject of repository libraries. This was planned in Sydney and has now led to the scheduling of a workshop entitled *Burying the treasure — Repositories as an element in international resource planning*, which the Section will be holding at the IFLA Conference in Paris on 25 August 1989, in cooperation with the UAP Programme and Maurice B. Line as the latter's representative. The speakers are not solely from this section ; some are members of other sections, such as Gunther Gattermann, or expert guests from a variety of European countries and the USA. This Workshop will be the highlight of the activities of the Section to date in this important subject area.

The range of subjects which, in addition to these central areas, have been dealt with only in individual papers in recent years is broad. They cannot be discussed here for lack of time. Nevertheless, the Section is aware that thus far only a few of the subjects within its jurisdiction have been dealt with in a comprehensive way, although others have been picked up at least briefly. In the medium-term program which they set for themselves in 1984 and 1985 for the years 1986-1991, and then revised in 1986 and 1987, the following areas are listed, which have not yet been adequately considered :

- Grey literature
- Periodicals — basic collections or holdings
- National acquisition guidelines
- Third World acquisition problems
- Use of new technology in acquisition and exchange.

Certainly, new electronic media such as CD-ROM and access to data banks from the acquisition and licensing point of view will also have to be taken into account in the subsequent medium-term program. Overall, then, a multitude of urgent subjects emerge for the comparatively small group of members of the Standing Committee of this Section, who work for their own libraries throughout the year and can work for the IFLA only in their own spare time. If funds could be obtained, it should be considered whether it might be possible for many projects to be contracted out to paid specialists.

However, the members of the Standing Committee intend to become more active themselves, within the modest possibilities

now available to them in persuading libraries and library associations to join the Section; currently it has only 86 members. The method used to accomplish this will be more publicity work in the form of the newsletter, an information brochure, and regular activity reports in the *IFLA Journal*.

SECTION OF GOVERNMENT INFORMATION AND OFFICIAL PUBLICATIONS, by Bernadine Abbott Hoduski

Introduction

As outgoing Chairwoman of the Section on Government Information and Official Publications, I am pleased to review the accomplishments of the Section, as well as its goals for the future. The members of the Section and its Standing Committee (current and former) are a dedicated and hard working group. The Section's primary goal has been to encourage librarians and government publishers to work together to promote the sharing of government information with the people of the world. Since many of the librarians and government publishers could not come to IFLA, we went to them with a series of seminars.

We have supported IFLA's goal of including librarians from the third world in IFLA activities by recruiting members from the third world for our standing committee, and by using funds raised through our seminars to bring them to IFLA conferences and our Section's seminars. Our policy has been to publish the results of these seminars ourselves and to distribute them to all the participants of the seminars, as well as to the members of our Section, co-sponsoring Sections and those who request a copy.

Our Section believes that it is important to keep our Section members informed about our activities and to encourage them to participate so we were one of the first sections to publish a news letter and will soon publish a directory of specialists in the area of government information.

Our Section promotes participation in IFLA and was one of the first Sections to open our meetings to all attendees of IFLA. We have encouraged librarians around the world to organize themselves in their own geographical areas, so they can work on the recommendations made by the attendees of our workshops. For example the librarians at the seminar in the South Pacific passed the following resolution:

> "Therefore be it resolved that the information professionals in each of the countries in the South Pacific Area take steps to establish or expand a group within a national professional body to promote communication and education in the area of government information and to provide a mechanism for monitoring and advising government publishers and policy makers;
>
> And be it further resolved that these national groups established a Government Information Users Council composed of at least two representatives from each national government information group to identify, discuss and take appropriate action in areas of common concern."

Seminars

The Section's priority has been the organizing of seminars in connection with IFLA meetings and in developing countries. Seminars have been held in Saratoga Springs, New York, USA; Chicago, Illinois, USA; London, England; Rabat, Morocco; Canberra, Australia. Seminars are being planned for Latin America and English speaking Africa.

Seminar in French Speaking Africa

The first seminar for developing countries was held for French speaking Africa in Rabat, Morocco, in September of 1987. The seminar was organized by Laydia Bachr of Morocco, Pierre Pelou of France and Oumar Diallo of Senegal. UNESCO provided a grant to bring a librarian from each of the French speaking countries to the seminar. The proceedings, *La gestion des publications officielles* were edited by Marie-Claude Marquet and Pierre Pelou. They can be purchased from La Documentation Française, 124 rue Henri-Barbusse, 93308 Aubervilliers CEDEX, Paris, France for 150 francs.

South Pacific Seminar

The *Seminar on Government Publications and Collection Development in the South Pacific Area* was held in Canberra, Australia from September 5 to 7, 1988. It was organized by Ann Miller of Australia. Money was raised from such sources as ASEAN to bring a librarian from all of the small South Pacific Islands. IFLA has given us funds to publish the proceedings.

Latin American Seminar

The Section is currently organizing a seminar for Latin America which will be held in Brasila, Brazil in the late Fall of 1989. Rosa Ma. Fernandez de Zamora of Mexico is organizing the seminar with the assistance of Barbara Ford and Bernadine Abbott Hoduski, officers of the Section. The final seminar in this series will be held for English speaking Africa.

Pre-Conference Seminar in Chicago, 1985

The proceedings of the 1985 Pre-Conference Seminar, *Social Sciences and Electronic Technology in the Area of Government Information* were published in the Fall of 1987. All members of the Sections on Official Publications and Social Sciences, as well as attendees at the preconference received a copy. Special thanks go to Siegfried Detemple and the Staatsbibliothek Preussischer Kulturbesitz for the printing and binding of this publication.

Pre-Conference Seminar in London, 1987

The Section held a pre-conference seminar in London from August 12 to the 14th, entitled *Official Government Publications Collections: Their Contribution to Making Official Government Information Accessible*. The conference organizers, Goeffrey Hamilton of the British Library and Michael Hopkins of Loughborough University of Technology are completing the editorial work. IFLA has given us the money to publish the proceedings.

Paris Workshop on Reference

The Sections on Social Science and Bibliography are cosponsoring our day long workshop here in Paris entitled *Reference Service for Publications of Intergovernmental Organizations*. It is on Thursday, August 24, 1989 from 8:30 am to 5:15 pm. The program will include a report of the results of the survey on international organizations. Reference librarians from international organizations will discuss the four most important types of questions received at their headquarters libraries and how they answer them. Sources will include all formats. Al Kagan of the University of Connecticut has coordinated the planning for the workshop.

Survey

The Section in cooperation with the Section on Bibliography asked Sylvie Jacque of the United Nations to conduct a survey of librarians about the bibliographic services of international intergovernmental organizations. The results of the survey questionnaire are now being compiled, analyzed and prepared for publication. Sylvie will report on the results of the survey at the workshop on *Reference Service for Publications of Intergovernmental Organizations* being held this week.

Maritina Paniagua, a Reference Librarian at the United Nation's Dag Hammarskjold Library is working on the annotated list of intergovernmental organizations bibliographic publications, which will be included in the final report. Irene Itina of New York Public Library and Peter Allison of New York University Library, along with the Chair and Secretary of the Section serve as a small advisory committee.

Meetings at Annual IFLA Conferences

The Section has had a series of successful program meetings during the IFLA annual conferences. Many of the papers presented have discussed the impact of new technologies on libraries' ability to access government information. This year we plan on visiting the Government Publications Department of the Bibliothèque Nationale and La Documentation Française. The program at IFLA in Stockholm will consist of a panel of speakers from the Nordic countries.

Definition of a Government Publication

The Section developed a definition of a government publication to be used for cataloging, collection development and exchange purposes. I have brought along copies if you would like to have one.

Resolution on Government Publications

IFLA accepted a resolution proposed by the Section that urges all governments to make provisions for providing copies of government publications to libraries in their countries.

Cataloguing of Government Publications

The Section continues to be concerned about the cataloguing of government publications and is pleased to have a representa-

tive on the Universal Bibliographic Control & International MARC Advisory Committee. Pierre Pelou of France is our representative. The Section urges all national libraries to include government publications in their cataloguing programs and all libraries to include those records in their catalogs. The treatment of government publications as an integral part of library collections is an important means for informing the public about their existence.

SECTION ON SERIAL PUBLICATIONS, by Mary Sauer Price

The IFLA Section on Serial Publications was established to study the handling of serials in libraries, including bibliographic control, access or availability, management and conservation. In pursuit of these studies, the Section maintains appropriate working relationships with the International Serials Data System (ISDS), the publishing community, abstracting and indexing services, document delivery facilities, national and regional serial program (such as NOSP in Scandinavia, CONSER in the United States, CCN in France, etc.) as well as libraries throughout the world. Additionally, the Section on Serial Publications has a Newspaper Round Table which was established to serve specifically the interests and needs of those librarians responsible for acquiring, organizing, maintaining, preserving and providing access to newspaper collections and to the information content of those collections.

The Section's total membership currently stands at 51, consisting of two personal members and 49 association or institutional members. This represents an increase of two over previous years. And the membership of the Standing Committee now numbers 13. In the interest of fostering efficient and timely communication regarding the activities of the Section, the Standing Committee has been issuing a *Newsletter* since 1983. Published somewhat irregularly (but at least twice a year) the *Newsletter* is now distributed to about 200 people including members and observers of the Standing Committee, members of the Section, the Directors of ISDS centers, and others upon request.

Both the Section and the Round Table organize their own programs and meetings during the annual IFLA conference. However, in addition to these regular meetings, special conferences are also conducted which address specific issues or topics. The Section's Newspaper Round Table (formerly known as the Working Group on Newspapers) sponsored an *International Symposium on Newspaper Preservation and Access* in London on August 12-15, 1987 just prior to the IFLA conference in Brighton. The Proceedings of this symposium were published by K.G. Saur on behalf of IFLA in 1988. And this year the Round Table is hosting a one-day workshop during the Paris IFLA conference on the 20th century Freedom Press (La Presse de la Liberté) which will include a small exhibition on the underground and revolutionary newspaper press of different countries and different times. Together with the Section on Conservation and the PAC (Preservation and Conservation) Core Program, both the Section and the Round Table sponsored an international colloquium on *Managing the Preservation of Serial Literature*. The papers presented at this colloquium covered such topics as: Preservation decision making in serials management; Preservation in the original format versus secondary formats; Information needs for managing serials preservation; Strategies for cooperative international serials preservation; and status reports on regional, national and international serial programs. With well over 100 participants, the colloquium was held on May 22-24, 1989 at the Library of Congress in Washington, D.C.; and it is anticipated that the Proceedings will be published late in 1988 or early in 1989.

Both the Section and the Round Table are involved in a number of activities and projects. The Section played a major role in 1974 and 1977 when the original conventions for the *International Standard Bibliographic Description for Serials* (ISBD(S)) were formulated. This responsibility was continued with the preparation of the Revised Edition of ISBD(S) which was published by the UBCIM Office in 1988. Also, the Round Table has been busy preparing its *International Guidelines for the Cataloging of Newspapers* which was written by Hana Komorous (University of Victoria, CANADA) and Robert Harriman (Library of Congress, USA) and is scheduled to be published by the UBCIM Office this year.

An *International Directory of Serial Experts* has been prepared by Jean Whiffen (University of Victoria, CANADA) on behalf of the Section as an aid to the library and information community in identifying and locating serial experts throughout the world. The *Directory* also includes a current list of ISDS national and regional centers. Publication of this directory by IFLA is now scheduled for the end of 1989.

Basic Serials Management is the theme of a project now underway within the Section which will result in a manual especially focussing on the needs and requirements of serials

SECTION ON INTERLENDING AND DOCUMENT DELIVERY, by Rudolf Frankenberger

At the 53rd General Conference of IFLA held in Brighton, the revised medium-term program of the Section was adopted.

The Section's main objective is to promote national and international interlending in connection with the UAP program, taking into account in particular the consequences of rapid technological development with regard to the accessibility of documents.

By arrangement with the relevant IFLA specialization groups, the program includes the following studies and projects:

1. Optimization of union catalogues, that is, determination of the level to which the union catalogue can economically be developed, and of the criteria for selection of the libraries which could make a contribution to this.
2. Automation and its effects on interlibrary loans, including electronic searching, and news transmission and document delivery systems.
3. The effect of electronic publishing on library collections and interlending.
4. The effect of copyright on document supply in all forms.
5. Principles and practice of fee schedules for interlibrary loan and document delivery.
6. Special problems of interlibrary loans in developing countries.
7. Regional seminars for staff specialized in the field of interlibrary loans and document supply.

In recent years, these objectives have been pursued with differing points of emphasis. While the questions relating to union catalogues receded into the background, EDP and network problems took on an increasingly important role. Most recently, there has been growing discussion of the question of fees. Questions of interlibrary loans in developing countries are always being discussed; regional seminars for staff in the field of interlibrary loans are regularly conducted by the IFLA Office for International Lending.

The Section Standing Committee originally comprised 17 members from 15 countries; since this IFLA Conference it is still made up of 17 members but from 12 countries. The chairwoman is Hope Clement, and the secretary is R. Frankenberger; the latter also acts as treasurer and liaison with the *IFLA Journal*. The section is represented on the advisory boards of three core programs; UBCIM (Hope Clement), UAP (Rudolf Frankenberger), and UDT (Virginia Boucher).

The major topic of the public meetings of recent IFLA conferences were:

- Interlending and Conservation,
- The Use of Electronic mail and Automation of Inter-Library Loans in Canada,
- Interlibrary loans in Australia in 1988,
- Lending in the Soutwest Pacific and in Southeast Asia,
- Conversion of old holdings and its significance in interlending.

The Interlending and Document Delivery Section was in charge of the official pre-seminar of the Paris Conference held on 1989 August 14-19. Originally intended for the francophone Third World countries, it was expanded to include other developing countries as well. The members of the Planning Committee were: Henri Sène (chairman), Marc Chauveinc, Hope Clement, Etienne Hustache, and Guust van Wesemael. The program contains seven theme areas:

1. Bibliographical access for interlending and resource sharing
2. Resources collections and document supply centres
3. Organization for interlending and document supply
4. Training for interlending
5. Technology and communications for interlending and document supply
6. Costs of interlending and document supply
7. Difficulties, problems and solutions.

The International Conference on Interlending and Document Supply held in London, November 14-16, 1988, was well attended and achieved great success.

Members of the Section were deeply involved. Hope Clement presented a report on *National and International Models (ILL models)*, Graham Cornish spoke on *Copyright and document supply*, Marc Chauveinc on *Interlending and document supply — where next ?*, Jean Plaister on *Online union catalogues with special reference to Project Viscount* and Lars Erik Sander on *Document Delivery : the User's viewpoint — Academic needs*.

The Section had supported a project of implementing OSI lending protocols between two national libraries, namely the National Library of Canada in Ottawa and the British Library. Another project has now been announced as part of the action program of the European Community, a project for an interlibrary loan federation (ILL) between three library networks in the Community is being planned, within an OSI context. LASER in the U.K., PICA in the Netherlands, and DBMIST, France are the participating institutions.

The IFLA Office for International Lending in Boston Spa is supporting the work of the Section and is taking on important project work. Graham P. Cornish reports regularly on the work in the *IFLA Journal*. The following should be noted from the past two years :

— In the first half of 1988, 34 % more international interlibrary loan request forms were sold than in the same period the previous year. Vis-à-vis 1987 as a whole, however, there was a decline. It was necessary to raise the price for industrialized countries from six to seven English pounds.

— It is intended to revise the guide to interlending and copying centres. The third edition is, after all, five years old.

— The Model Handbook for Interlending and Copying was published with the assistance of UNESCO. Copies can be ordered from the Office for five English pounds.

— A workshop on lending in the Caribbean region was held in Martinique in May 1988. This event took place during the annual conference of the Association of Caribbean University, Research and Institutional Libraries (ACURIL). The workshop was very successful and adopted various resolutions directed at ACURIL for support. It is to be hoped that the Office will be in a position in the near future to take an even more active part in workshops and in continuing education.

— Free copies of the list of national libraries and their addresses can be requested from the Office.

— The German version of *International Lending : Principles and Guidelines for Procedure* has been issued.

— The international inter-library loan request forms are to be revised. Comments are requested.

— The work on the *Guide to Major Collection in Fringe Subject Areas* is making progress.

— Beginning in 1989, news from the IFLA Office and from the Section will be published on a quarterly basis in *Interlending and Document Supply*.

— The Office will continue to be supported by the British Library for the next five years. The Section is very grateful for this. Without the IFLA Office, the work of the Section would not be conceivable.

81-ACQUIS-1-E

Collaborative Interdependence : The Human Dimensions of the Conspectus

Dr. Paul H. MOSHER, *Vice Provost and Director of Libraries, University of Pennsylvania, Philadelphia, Pennsylvania, USA*

ABSTRACT

The conspectus, and collaborative collection developments in libraries, are usually treated as issues of policy, organization, and protocol. Recent studies in the field of behavioral psychology suggest that the human, cultural aspects of small group behavior should be examined and integrated into conspectus and resource sharing activity to achieve optimum productivity. Evidence from the Research Libraries Group's Conoco Project supports this hypothesis.

Cooperation among libraries for purposes of resource sharing or cooperative collection development is not new. Librarians in the United States and elsewhere — at least since Librarianship became a serious professional enterprise around the turn of the century — have usually exhibited a democratic altruism about information and its distribution that has resulted in rich and extensive library collections and a powerful tradition of library service. The cooperative collection development aspect of resource sharing has, in one guise or another, long been a part of both that spirit and that enterprise.

Recognizing that past cooperative acquisitions programs and categorical coordinated collection development efforts in the U.S., such as the National Program of Acquisitions and Cataloguing and the Public Law-480 Program, have encouraged duplication of little-used foreign materials among the nation's major research libraries, collection development librarians of the Research Libraries Group began a program in 1980 of mapping and rationalizing the research collections of member libraries using a common framework (based on the Library of Congress classification system) and a set of standard codes for representing collecting intensities, strength of existing collections, and characteristic of materials collected. This framework, called the *Conspectus*, is intented to increase the options for cooperative collection planning and management and provide clearer understanding of collects, collecting efforts, and commitments by participating libraries. The Conspectus approach and methodology have been well covered in library literature. These initiatives differ from previous cooperative efforts, such as the Farmington Plan, through their focus on collection development and management rather than blanket acquisition. The Conspectus is designed to facilitate and encourage local and consortial planning, and to provide the infrastructure for a variety of cooperative efforts in the distribution, cataloguing, and preservation of informational materials, as well as their acquisition.

A New Approach

In this new environment, driven by economic necessity as well as altruism, we have begun to recognize that librarians no longer need to seek the unattainable goal of self sufficiency. We recognize the circumstances call for *collaboration* — ways to optimize each library's capacity to serve its constituency with basic, core materials, and link with other libraries in consortia or networks that will allow access to the collective resources of all participants. In this ideal framework the unique or uncommonly held materials of each library connect with those of other libraries in a pattern not unlike that of the branch libraries of a large university campus research library network. The lesser-used collections of all thus become resources for each, and the capacity to support the work of study, business and industry becomes greater, so long as physical and bibliographic access are adequately provided. Such a construct permits libraries to serve their patrons and programs better, through programs linked by a planned, responsive and supportive a pattern of cooperative interdependence.

A new and more useful mythology is called for to replace that of the self-sufficient and comprehensive collection that has historically dominated the thinking of research librarians. We need to go beyond "cooperative" collection development to "collaborative" collection development. We may understand cooperation as the environment for the needed programs, but it is, in fact only an environmental quality, not the goal itself. Collaboration is the means of achieving cooperation. It means working, laboring, thinking, and planning together in communities of enterprise which transcend the walls of individual libraries — or even of our large campus library complexes. Collaborative collection development requires communities of librarians who know their patrons and their programs well, and who are active rather than passive in their approach to collections. It requires librarians who are change agents rather than reagents — the agents of proactive change rather than the effects of it.

Attitudes in Collection Development

When we consider collaboration in collection development we enter into an unusual dimension of the field, one seldom mentioned in the literature : the realm of attitudes. Although attitudes have always been there, the domain of attitudes has seldom been recognized or discussed as such. Yet attitudes form the context for all human activities ; attitudes are an essential element of culture, and they are vital in terms of the functions of collection development and management. Perhaps it is because we so often consider collection development and management as formal, structural enterprises that we fail to consider their human or collective aspects. When we write

about or discuss management, control, organization and structure of collection development, we miss this key aspect of the enterprise. In fact, collection development is largely a social or cultural enterprise carried out both by individuals and communities of individuals motivated as such or more by beliefs or attitudes as by structures, rules, or codes. Many attempts to implement cooperative collection programs have foundered because of failure to recognize the human dimension of the process.

Few studies have emphasized cooperation for its human dimension — collaboration. Few have emphasized the cultural, rather than the structural, aspects of cooperation, either locally or consortially ; few have reflected about the communities of human beings who make the thousands of decisions that ultimately form library collections, about the communication between the individuals that form those communities, or the communication between communities that must be at the center of any processes of cooperative collection development. Yet it is here — at the human level, and at the basic level of human communication — that cooperative collection development will succeed or fail. Librarianship is often understood to be an applied social science, or a branch of organizational behavior ; so it may be, but it is also a social enterprise, with culture rather than structure at its base, and with communication between humans rather than control by management as its operational routine. Collection development, including cooperative collection development, is often explained by the use of mechanical metaphors or structure by librarians, perhaps in an effort to reduce the complexity of the issues and the traditions formed about the nature of collection development as a library function.

The essence of management in collection development is not budgetary or organization but cultural, though these other two elements are also present and significant. Collaboration in collection development is reached by agreement on common values and goals rather than by a process of working out personal differences or organizational mandates. Collaboration is achieved by thinking ahead, planning, reflecting, and talking with both users and colleagues about the collections, the programs they serve, and about aspirations for the collections of the future. The accomplishment of working collaboration among people doing selection and making collection management decisions is, perhaps, a more central key to effective cooperation within collection development than distribution of subject, language, discipline or format (thought this latter should not be neglected).

If effective working teams are formed which possess commonality of values, purpose and function, have agreed upon desired goals and on a set of objectives, a time frame, and the means they will use to achieve those goals, effective distribution of responsability is likely to be a natural outcome along with other functionnally desirable outcomes less readily perceived at the outset.

Recent studies by psychologists of cooperation in organizations support the view that effective cooperation is most readily achieved through formation of small working teams or communities consisting of relatively small numbers of workers. These workers should focus on sets of mutually desirable interdependencies and outcomes that link stakeholders, rather than emphasize the issues or problems of a single stakeholder. Such groups tend to foster cooperation rather than competition, and collaboration has been shown to strengthen such groups and encourage them to complete more challenging tasks. Collaboration — working together — on cooperative goals fosters good work relationships, high morale, productivity and effective group integration[1]. Factors crucial to effective collaboration include : 1) effective mutual communication, 2) helpful and facilitative attitudes, 3) mutual sensitivity to needs, motives, and concerns, and 4) a cooperative and supportive role by administrators.

Small groups generate expected and actual assistance, more effective communication, shared influence, task orientation, friendliness and support. Effective outcomes are optimized through the helping network and environment based on these groups or teams, which foster open discussion of different viewpoint and work-related issues.

Studies of group performance have demonstrated that the highest verbal and arithmetical reasoning performance was observed under situations of intergroup cooperation ; shared attitudes fostered cooperation. It has also been shown that collaboration in groups engenders greater work-related learning by all participants. Various members of the groups know differing amounts about the subjects of discussion. In order to make the references understood, they need to draw on knowledge and beliefs shared by members of the group. Experts and novices must assess each other's expertise and accommodate their differences, and in so doing evaluate, supply, and acquire more knowledge than they would as individuals performing these same tasks independently[2].

The results of such studies emphasize the significance of the informal and social aspects of collection development and the importance of intergroup or team learning and behavior in forming and carrying out collaborative efforts within a cooperative collection development program. They emphasize the benefits of both collaboration and interdependence in cooperative effort — factors that are important at two levels : that of the selectors or bibliographers, and that of the libraries themselves.

Studies such as these underscore the importance of the human interrelationships that underlie the protocols in any resource sharing or cooperative collection development program. Protocols, structures and guidelines, the Conspectus and policies, lay the foundation for the collaborative effort necessary to create cooperation, but it is groups or teams of humans, working collaboratively, that most effectively achieve cooperative collection development goals.

Another important thing about cooperation and collaboration is that they are idealistic in motivation but need to become *habitual* and *customary* in order to become effective. Since effective collaboration in the collection development sphere is the result of changes in the thousands of individual decisions made by many human beings, collaboration must be the result of conditioned habit guided by shared ideals and beliefs as well as shared protocols. The effects of genuine collaboration or cooperation in collection development are "minimalist" rather than "dramatic". They result in ongoing changes in the pattern of the carpet, rather then the sudden appearance of vinyl flooring. Effectiveness in cooperative collection development means that the processes of selection and decision making will be modified in practice by individuals carrying out their work in ways that will achieve collectively determined and desirable goals.

These arguments are supported by the results of one of the most important recent investigations in the field of collection development — one that has also demonstrated the potential benefits to be achieved by collaboration among small groups of individuals working together in the area of cooperative collection development. This is the Conoco Study carried out under the auspices of the Research Libraries Group over the last few years. Funded by Conoco, Inc., a project task group of members of the Collection Management and Development Committee of the RLG (bibliographers from participating institutions and central staff) involved teams of bibliographers from the humanities (German literature) and sciences (Geology) to examine the degree to which cooperative collection development could be effective, and whether cooperative collection development goals could be effectively internalized by bibliographers in ways that would affect their long-term decision-making behavior.[3] The findings in two areas are particularly relevant here : selector behavior in relation to identified resources sharing goals, and collection overlap.

It was found that German selectors were willing to change 40 % of their selection decisions and rely on collections at other institutions if they could be reasonably assured by both bibliographic access and physical availability of items in those other collections. Geology selectors were proved willing to change up to 50 % of their selection decisions. Selectors in both the humanities and science disciplines proved willing to focus cooperative action on materials which they consider as belonging to portions of their collections outside the basic or instructional needs of their institutions. They were reluctant to consider relying on other collections for materials they identified as important to the core of their work — usually curricular, instructional, or basic reference materials.

The bibliographers indicated that their standards for delivery of materials in order to achieve cooperative reliance was no more than seven days for humanities materials, and no more than three days for materials in the sciences.[4]

The results of the Conoco study of bibliographer behavior in a collaborative collection development situation are heartening, and demonstrate that potential benefits of cooperation are real. The results also show the benefit — perhaps the necessity — of personal collaboration in meetings, team building, and team-

work among librarians in achieving the potential benefits of cooperative collection development. The Conoco study involved collaborate effort among participating bibliographers, who were brought together to carry out the study and design the outcomes as well as prepare to achieve them. It may well be this element — collaboration among bibliographers or selectors from libraries participating in cooperative collection development ventures — is an essential element in developing the collaborative interdependance necessary for effective results in cooperative collection development, and that such activity should be a part of the planning — and funding — for all cooperative collection development ventures.

NOTES

1. *See*, for example, Dean Tjosvold, "Cooperation theory and organizations," *Human Relations*, 37(1984), 743-67 ; Barbara Gray, "Conditions facilitating interorganizational collaboration," *Human Relations*, 38 (1985), 911-36 ; Donald T. Tuler, "Professor-practitioner collaboration : an analysis of factors enhancing collaboration in education." Ph. D. dissertation, University of Wisconsin, Madison, 1983, *Dissertation Abstracts International* Volume 44, No. 3, p. 640A.
2. Ellen A. Issacs and Herbert H. Clark, "References in conversation between experts and novices," *Journal of Experimental Psychology : General*, 116 (1987), 26-37 ; Rupert Brown and Domino Adams "The effects of intergroup similarity and goal interdependence on intergroup attitudes and task performance," *Journal of Experimental Social Psychology*, 22 (1986), 78-92.
3. *Conoco Project : Executive Summary*. An unpublished report, The Research Libraries Group, Stanford, CA., May 13, 1987. Participating institutions in German were Columbia, Brigham Young, Cornell, N.Y.P.L., Stanford, Northwestern, Penn., Minnesota, and Yale. Those in Geology were Colorado State, Columbia, Iowa, Minnesota, Stanton, N.Y.P.C., and Suny Stony Brook.
4. *Conoco Project : Executive Summary*, pp. i-iv.

103-ACQUIS-3-F

Les Acquisitions en Afrique au Sud du Sahara : exemple de la Bibliothèque Nationale de Paris, France

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RÉSUMÉ DE LA COMMUNICATION

Les acquisitions de livres et de périodiques publiés en Afrique ont été entreprises, d'une manière systématique, depuis relativement peu de temps. C'est à la suite de la "Conférence Internationale sur la Bibliographie africaine", tenue à Naïrobi en 1967, que les conservateurs en chef des départements des Entrées et des Périodiques décidèrent de développer le secteur des acquisitions africaines. Jusque là, en effet, les ouvrages édités en Afrique provenaient des échanges entre la Bibliothèque nationale et quelques bibliothèques des pays francophones.

Ce travail d'acquisitions, devait s'accompagner d'une recherche documentaire sur la production africaniste en France. Le Département des Entrées collabora à la *Bibliographie française sur l'Afrique* publiée à partir de 1968 par le CARDAN — Centre d'études africaines de l'École des Hautes études en Sciences sociales. Ouvrage qui deviendra en 1977 la *Bibliographie des travaux en langue française sur l'Afrique au Sud du Sahara*.

Depuis 1968, Madame BERNE puis moi-même en 1972 avons communiqué au CARDAN les fiches de la Bibliothèque nationale qui concernaient l'Afrique. Cette collaboration, on le verra plus loin, s'est révélée fort utile au travail d'acquisition.

Quels types de documents achetons-nous ?

Essentiellement des monographies et des publications en série conservées au Département des Imprimés et à celui des Périodiques.

Je ne parlerai pas ici de la politique d'achat des autres départements de la Bibliothèque qui ont leur propre budget et leurs spécialistes.

Si le choix des livres se fait au sein du Service des acquisitions celui des périodiques est arrêté en accord avec le Service des périodiques étrangers, la recherche bibliographique étant toujours menée par les conservateurs des acquisitions.

Le mode d'entrée, achat ou demande d'échange, étant laissé à l'appréciation des acheteurs.

Dans quels pays achetons-nous ?

Dans la mesure du possible, dans tous les pays d'Afrique au Sud du Sahara. Le Service arabe se charge, lui, des acquisitions au Maghreb et bien sûr en Égypte et en Libye.

Nous donnons priorité aux publications des pays francophones. Le fonds de la Bibliothèque Nationale s'est autrefois enrichi considérablement de ces collections de l'époque coloniale grâce au Dépôt légal. Il est donc important de ne pas créer une coupure dans ce fonds africaniste. Après les indépendances, le Dépôt légal a normalement cessé de nous parvenir. Malgré tout, un certain nombre de livres, édités en Afrique mais imprimés en France nous arrivent par la voie du dépôt légal des imprimeurs.

Conformément à la politique générale des acquisitions étrangères le choix porte sur les ouvrages de sciences humaines et les œuvres littéraires. Pour l'Afrique francophone une plus grande place est faite aux sciences sociales, aux études sur la tradition orale, les coutumes, aux ouvrages religieux ou didactiques en langues locales.

La documentation utilisée

Faute de recevoir assez vite les bibliographies nationales africaines nous utilisons principalement les bibliographies ou listes suivantes :

— *The African book publishing record*. — Oxford.
— *Accessions list — Eastern Africa* de la Library of Congress.
— *Bibliographie des travaux en langue française sur l'Afrique au Sud du Sahara* (Paris)
— *International African bibliography* (Londres)
— *Vient de paraître* (édité par le Centre de documentation de Radio France international).

Bien sûr nous consultons aussi les catalogues des éditeurs africains, les listes des libraires spécialisés, les périodiques, etc...

La collaboration que nous maintenons avec les centres de recherche spécialisés comme le CEA (déjà cité) le CNRS (le groupe de recherche sur la littérature africaine) nous est très utile par les renseignements que nous pouvons recueillir auprès de chercheurs qui se rendent fréquemment en Afrique, se tiennent au courant des publications récentes et peuvent, par les rapports directs qu'ils entretiennent sur place, favoriser l'acquisition de ces documents.

Modes d'acquisition

J'ai déjà cité plus haut le cas des publications qui nous parviennent par le dépôt légal imprimeurs. Cas de moins en moins fréquent à mesure que l'impression des livres en Afrique même se développe.

Quelques ouvrages nous sont donnés, par leurs auteurs ou par des bibliothèques ou Instituts de recherche. Nous avons aussi des relations d'échanges avec la plupart des bibliothèques africaines. A ce sujet je renvoie à l'exposé fait par Mme Ben Khemis au congrès de l'IFLA à Naïrobi en 1984.

Pendant les quelques années qui ont suivi l'indépendance des pays francophones nous avons compté sur l'arrivée des ouvrages obtenus grâce aux Echanges internationaux. Il s'est vite avéré que des achats réguliers étaient nécessaires au développement d'un fonds cohérent.

Nous avons dû constituer, puisqu'il n'existait pas avant 1970, tout un réseau de libraires, fournisseurs, de préférence installés dans les pays d'édition du livre. Règle qui avait l'inconvénient de disperser et de multiplier des commandes nombreuses mais peu fournies. De plus en plus à côté des libraires locaux nous utilisons les services de fournisseurs européens spécialisés. Les achats chez les quelques libraires africanistes de Paris ont l'avantage certain de permettre la consultation des livres.

Je ne reviendrai pas ici sur ce que tout bibliothécaire chargé d'un secteur africain connaît bien : les difficultés des achats dans des pays ou le livre est généralement mal diffusé.

L'utilité de voyages d'acquisitions qui devrait sembler évidente pour tous les pays l'est plus encore quand il s'agit de l'Afrique. Malheureusement, ce procédé fréquent dans les pays

anglo-saxons est peu utilisé chez nous. J'ai pu, tout de même, grâce à des crédits du CNRS me rendre à la foire de Dakar en 1985. Outre les contacts que j'ai pris avec les libraires africains présents à la Foire, j'ai pu visiter les principales bibliothèques de Dakar, les archives et rapporter un certain nombre de livres. Il en fut de même lors d'un voyage personnel au Mali en 1977.

Comme je l'ai dit ces voyages sont beaucoup plus courants chez nos collègues anglo-saxons. J'ai pu le constater lors d'un voyage d'études aux USA et lors d'un stage de 15 jours à la Bibliothèque universitaire de Francfort.

On peut aussi regretter l'absence d'un plan d'acquisitions partagées à l'image de celui de la SCOLMA en Grande-Bretagne ou des bibliothèques de RFA.

La création de la Bibliothèque de France permettra sans doute de donner plus d'ampleur à ces acquisitions et de favoriser une coopération avec les autres bibliothèques ayant des fonds africains.

Pour l'instant, la collaboration a été souvent le fruit d'initiatives personnelles et du soutien de la Mission de la Recherche de l'ex-Ministère des Universités.

Le Département des Entrées étrangères dirigé jusqu au début de cette année par Mlle MORIN a publié plusieurs catalogues consacrés au fonds africain et en particulier au fonds littéraire, de 1973 à 1983. L'inventaire de la période 1920 à 1972 est en cours et sera je l'espère terminé cette année.

60-ACQUIS-2-G

Das internationale Problem der gespaltenen Preise für wissenschaftliche Literatur : Zwischenbericht über ein Projekt

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Ulrich MONTAG, *Leiter der Erwerbungsabteilung Bayerische Staatsbibliothek, München, Bundesrepublik Deutschland*

ZUSAMMENFASSUNG

Das Problem der gespaltenen Preise ist seit 1987 Arbeitsschwerpunkt der IFLA-Sektion für Bestandsaufbau und Schriftentausch. Auf der IFLA-Konferenz in Sydney 1988 hielt Ulrich Montag einen Vortrag, der in die Thematik einführte. Im Rahmen des Projekts "Gespaltene Preise" wird 1989 eine Fragebogenaktion durchgeführt, die zunächst im April in einer englischsprachigen Fassung weltweit in 78 Staaten über 500 Bibliotheken erfasste. Auf der Auswertung der bis Mitte Mai erhaltenen Antworten beruht der hier gegebene Zwischenbericht über dieses Projekt.

Die Zielsetzung des Fragebogens besteht einerseits in der Datenerhebung, um umfassende Informationen über die Politik der gespaltenen Preise und deren Auswirkungen zu gewinnen, andererseits in der Aufklärung der Bibliotheken über die Praktiken des dual pricing und alternative Beschaffungsstrategien. Sein letzter Abschnitt zielt darauf ab, wie aus der Sicht der wissenschaftlichen Bibliotheken auf die vorwiegend von multinationalen Verlagskonzernen forcierte Politik der gespaltenen Preise reagiert werden solle, wobei diese im Kontext der allgemeinen Preisentwicklung wissenschaftlicher Literatur gesehen werden muss.

Die Tatsache, dass die Initiative der IFLA-Sektion für Bestandsaufbau und Schriftentausch auf breite Zustimmung und reges Interesse stiess lässt die Brisanz der Thematik für die Bibliotheken in aller Welt erkennen.

Der für 1990 vorgesehene Abschlussbericht des Projekts soll die Grundlage für die Verhandlungen der IFLA mit Verlagen und Verlegerverbänden bilden.

EINFÜHRUNG

Das Motto der diesjährigen IFLA-Konferenz hier in Paris — "Bibliotheken und Information im Wirtschaftsgefüge von gestern, heute und morgen" — hat natürlich eine besondere Bedeutung für die Sektion für Bestandsaufbau und Schriftentausch. Die Erwerbungsbibliothekare auf der ganzen Welt spüren deutlich, dass die Informationen, die sie sammeln sollen, zu einer so teuren Ware geworden sind, dass sie sich nicht mehr alle Bibliotheken leisten können. Dadurch wird ihr Bestandsaufbau stark eingeschränkt, schliesslich ihre Funktion als kollektives Gedächtnis der Menschheit gefährdet.

Schon seit einigen Jahren hat eine immer grössere Zahl von Bibliothekaren neben der allgemeinen, übermässig grossen Preissteigerung für Bibliotheksmaterialien die Politik der gespaltenen Preise, wie sie von einer zunehmenden Zahl international bedeutender Verlage angewandt wird, als wesentliche Ursache für die sich verschlechternde Kaufkraft der Bibliotheken erkannt. Durch diese Politik werden den Bibliotheken in zweifacher Weise überhöhte Preise abverlangt:

— erstens in ihrer Eigenschaft als Bibliotheken gegenüber Privatpersonen,

— zweitens auf Grund ihrer geographischen Lage zum jeweiligen Ursprungsland der Literatur.

Da bisher auch deutlich formulierte Protestaufsätze von Bibliothekaren gegen diese Vorgehensweise vieler Verlage nichts auszurichten vermochten, hat sich die Sektion für Bestandsaufbau und Schriftentausch der IFLA dieser Problematik angenommen und sie zu einem ihrer Arbeitsschwerpunkte gemacht. Sie hofft, eine internationale Solidarisierung unter den Bibliothekaren zu erreichen, damit sie geschlossen den bereits international zusammenarbeitenden Verlagen gegenübertreten können.

Zu diesem Zweck eröffnete Ulrich Montag, Sekretär dieser Sektion, die Kampagne mit dem Vortag "Gespaltene Preise auf dem internationalen Buchmarkt" auf der letztjährigen IFLA-Generalkonferenz in Sydney.[1]

Den in diesem Vortrag angekündigten aufklärenden Fragebogen hat zuerst Rolf Griebel deutsch entworfen. Er wurde von der Sektion in Sydney diskutiert, dann von Ulrich Montag in eine überarbeitete englische Fassung gebracht, die im Zusammenwirken mit weiteren Mitgliedern der Sektion, vor allem David Bradbury, Sieglinde Rooney und Derek Whitehead den jetzigen, endgültigen Wortlaut erhielt.

Sie besteht aus einem kurzen Anschreiben, einem den Sachverhalt erläuternden "Fact Sheet" und dem Fragebogen selbst. Noch im April 1989 wurden etwa 500 Exemplare an Bibliotheken und Bibliothekarsvereinigungen im englischen und deutschen Sprachraum versandt. Eine französische Übersetzung und die spanische Fassung werden im Sommer folgen. Rolf Griebel übernimmt die Auswertung der Fragebogen. Auf der IFLA-Generalkonferenz in Stockholm 1990 wird der Abschlussbericht gegeben werden können. Die Sektion wird dann die Meinung der wichtigsten wissenschaftlichen Bibliotheken der Welt zum Problem der gespaltenen Preise kennen. Es ist zu hoffen, dass es anschliessend zu Gesprächen zwischen Gremien der IFLA und Verlegerverbänden kommt, welche die Lage entschärfen und eine direkte Konfrontation vermeiden helfen. Denn trotz des Vordringens elektronischer Medien wird das Papier der wichtigste Informationsträger bleiben, dessen Preis von den Verlegern weltweit so gestaltet werden sollte, dass er den Bibliothekaren noch begreiflich ist.

1. BESCHREIBUNG DES SAMPLE

Die im Rahmen des vom IFLA Professional Board bewilligten Projektes durchgeführte Fragebogenaktion, die sich in verschiedenen Phasen bis zum Ende des Jahres 1989 erstrecken wird, erfasste zunächst im April in einer englischsprachigen Fassung weltweit in 78 Staaten 509 Bibliotheken, wovon jeweils 30 % in Europa und Nordamerika, 16 % in Asien, 11 % in Afrika, 7 % in Lateinamerika und 6 % in Australien liegen. Auf der Grundlage des Internationalen Bibliotheksadressbuches wurden in den einzelnen Staaten die nach Bestand und Erwerbungsetat bedeutendsten wissenschaftlichen Bibliotheken ausgewählt — also in erster Linie National — und Universitätsbibliotheken, aber auch Parlaments-und Behördenbibliotheken sowie Forschungsbibliotheken, vereinzelt auch grosse Public Libraries.

Die im folgenden vorgestellte Auswertung musste sich auf den Rücklauf bis Mitte Mai beschränken. Dass bereits zu diesem Zeitpunkt die Antworten von 105 Bibliotheken aus 22 Staaten, vorwiegend aus Westeuropa und Nordamerika, aber auch aus Afrika, Lateinamerika, Australien und Asien, insbesondere Japan, vorlagen, lässt die Brisanz der Thematik für die wissenschaftlichen Bibliotheken in aller Welt erkennen. Dass die Initiative der IFLA-Sektion für Bestandsaufbau und Schriftentausch auf eine breite, auch explizit im Fragebogen artiku-

lierte Zustimmung und reges Interesse stiess, schlägt sich auch darin nieder, dass Fragestellungen, für die keine standardisierten Antworten (multiple choice) vorgegeben waren, vielfach sehr differenziert beantwortet wurden. Allen beteiligten Bibliotheken sei an dieser Stelle für ihre Mitarbeit gedankt.

Die trotz der zeitlichen Begrenzung auf eine für eine Analyse hinreichend breite statistische Basis gestützte Auswertung wird sich im folgenden auf die wichtigsten Ergebnisse, zentrale Aussagen und Trends konzentrieren.

2. AUFBAU DES FRAGEBOGENS

Der Fragebogen, dessen methodische Konzeption unterschiedlichen Bibliothekstypen mit spezifischen Ausprägungen von Erwerbungsprofilen, vor allem aber vielfältigen beschaffungsmethodischen Usancen in den jeweiligen geographischen Räumen Rechnung zu tragen versuchte, ist aus vier Teilen aufgebaut. Die Fragestellung des ersten Teils zielt auf die finanziellen Rahmendaten zur Erwerbung ausländischer Literatur. Im zweiten Abschnitt wird die Politik der gespaltenen Preise aufgrund des Status des Beziehers — institutionell oder privat — untersucht. Gegenstand des dritten Teils ist die Preisdiskriminierung nach geographischen Kriterien. Beide Teile sind so konzipiert, dass einerseits umfassende Informationen über die Politik der gespaltenen Preise und deren Auswirkungen für die Untersuchung im Rahmen des Projekts gewonnen werden, andererseits zugleich Aufklärung über die Praktiken des dual pricing und mögliche Gegenmassnahmen geleistet wird. Im letzten Abschnitt zielt die Fragestellung darauf ab, wie aus der Sicht der wissenschaftlichen Bibliotheken auf die überwiegend von multinationalen Verlagskonzernen forcierte Politik der gespaltenen Preise reagiert werden soll. Hierbei muss diese im Kontext der allgemeinen Preisentwicklung wissenschaftlicher Literatur gesehen werden, die von überproportionalen, die allgemeine Literaturversorgung gefährdenden Steigerungsraten geprägt ist.

3. ERGEBNISSE DER UMFRAGE

3.1 Finanzielle Rahmendaten zur Erwerbung ausländischer Literatur

Zunächst soll ein Überblick darüber gewonnen werden, welcher Stellenwert der ausländischen Literatur in der Erwerbungspolitik wissenschaftlicher Bibliotheken zukommt. Der Begriff "ausländische Literatur" ist hierbei so gefasst, dass die Produktion ausländischer Verlage, die in dem jeweiligen Staat eine Auslieferung oder vergleichbare Vertriebsorganisation unterhalten, als ausländische Literatur gilt.

Der Anteil der Ausgaben für die ausländische Erwerbung an den Gesamtausgaben, der natürlich in hohem Masse von der Bedeutung der wissenschaftlichen Literaturproduktion des jeweiligen Landes abhängt, beträgt bei knapp zwei Fünftel der Bibliotheken mehr als 70 %, bei einem Fünftel zwischen 50 und 70 %, bei einem Drittel zwischen 30 und 50 % und bei knapp einem Zehntel unter 30 %. Insgesamt liegt der Anteil der ausländischen Erwerbungen beim Literaturtyp "Serials" höher als bei "Monographien".

Ein Vergleich der Preisentwicklung in- und ausländischer wissenschaftlicher Literatur zeigt, dass bei inländischer Literatur für 80 % der Bibliotheken der Preisanstieg unter 10 % liegt, bei ausländischer Literatur hingegen für über 50 % der Preisanstieg die Marge von 10 % übersteigt. In 21 % der Bibliotheken liegt er sogar über 15 %. Die Analyse der Preisentwicklung hat hierbei zu berücksichtigen, dass sich unterschiedliche Erwerbungsprofile insofern auswirken, als Literatur, vor allem Zeitschriften, in Naturwissenschaften, Technik und Medizin wesentlich höheren Steigerungsraten unterliegt als etwa in den Geisteswissenschaften. Beim Vergleich der Preisentwicklung in- und ausländischer Literatur muss auf einen grundsätzlichen Unterschied hingewiesen werden. Während der Preisindex der inländischen Literatur im wesentlichen die primäre Preissteigerung, d.h. die Veränderung des Originalpreises, abbildet, spiegelt der Preisindex der ausländischen Literatur neben der primären Preissteigerung den Einfluss sekundärer Preisbildungsfaktoren im Bereich der Beschaffung wider, wie Portokosten, service charges bzw. Rabatte und in ganz besonderem Masse Wechselkursschwankungen. Letztere können die primäre Preissteigerung sowohl kompensieren als auch potenzieren. Festzuhalten bleibt indes, dass die Bibliotheken von der Preissteigerung ausländischer Literatur insgesamt wesentlich stärker betroffen sind als von der inländischer Literatur.

Setzt man die Preisentwicklung wissenschaftlicher Literatur, d.h. aus der Sicht der Bibliotheken die Kostenentwicklung, in Relation zur jeweiligen Etatfortschreibung, so bestätigt das Ergebnis der Umfrage eindrucksvoll, dass die Etatzuwächse der wissenschaftlichen Bibliotheken in den letzten Jahren hinter der Preissteigerung und der Ausweitungsquote der wissenschaftlichen Literaturproduktion zurückbleiben. Knapp 80 % der Bibliotheken müssen auf entsprechende Defizite der Etatentwicklung verweisen. Die Schere zwischen Kostenentwicklung und Etatfortschreibung klafft in 36 % der Häuser um mehr als 10 % jährlich auseinander. Dies stimmt nicht zuletzt in Anbetracht der Zusammensetzung des Samples besonders bedenklich. Aufgrund der Etatsituation sehen sich 84 % der betroffenen Bibliotheken zu einer — mitunter drastischen — Beschneidung ihres Monographienkaufprogramms, 70 % zur Durchführung von Abbestellungsaktionen bei Zeitschriften und Fortsetzungen gezwungen.

Der kontinuierliche Kaufkraftverlust lässt die Literaturversorgung auf nationaler, regionaler und universitärer Ebene zunehmend als gefährdet erscheinen.

3.2 Gespaltene Preise aufgrund des Status des Beziehers (institutionell — privat)

3.2.1 Monographien

In der wissenschaftlichen Literatur, vor allem angloamerikanischer Provenienz, sind zwischen der gebundenen Ausgabe, die auf die Bibliotheken als Zielgruppe ausgerichtet ist, und der Paperback-Ausgabe häufig ganz beträchtliche Preisunterschiede festzustellen, die nicht selten ein Vielfaches des Wertes der maschinellen Bindung betragen. Auch diese Marketingstrategie stellt deshalb eine Ausprägung der Politik der gespaltenen Preise unter statusbezogenem Aspekt dar.

Die Umfrage zeigt, dass 57 % der Bibliotheken grundsätzlich die gebundene Ausgabe kaufen, wohingegen 43 % die Entscheidung im Einzelfall nach verschiedenen Kriterien wie etwa der Einschätzung der Nachfrageintensität oder der Aufstellung im Magazin oder Freihandbereich treffen. Etwa ein Sechstel der Bibliotheken hat in Anbetracht der eklatanten Preisunterschiede beschaffungspolitische Konsequenzen gezogen, als sie partiell den Kauf von Paperback-Ausgaben bevorzugen und diese nachträglich binden lassen.

Diese Kaufstrategie erweist sich freilich insofern als nicht unproblematisch, als der Kostenersparnis beim Bezug der ungebundenen Ausgabe der zusätzliche Personalaufwand gegenübersteht, den das nachträgliche Binden — sei es innerhalb oder ausserhalb des jeweiligen Hauses — verursacht. Zudem muss auf einen zweiten Aspekt hingewiesen werden. Es ist tendenziell zu beobachten, dass, sofern alterungsbeständiges Papier für die Buchproduktion herangezogen wird, dieses vorwiegend bei den gebundenen Bibliotheksausgaben Verwendung findet. Der Einsatz alterungsbeständigen Papiers rechtfertigt freilich keineswegs die überzogenen Preisaufschläge für die gebundenen Ausgaben.

Die Tatsache, dass zudem in 86 % der Bibliotheken die Bindequote unter 10 % des Erwerbungsetats liegt, verdeutlicht überdies, dass der finanzielle Spielraum für den Einband von Monographien stark eingeengt ist.

3.2.2 Zeitschriften

Besonders schwer wiegen die Preisunterschiede im expansiven Zeitschriftenmarkt. War der Unterschied zwischen dem für die Bibliotheken bindenden Preis für institutionelle Bezieher und dem Preis für private Käufer in der Vergangenheit weithin eher moderat, so zeichnet sich in den letzten Jahren unverkennbar die Tendenz ab, dass die Verlage die institutional rate drastisch erhöhen. Die Aufschläge für Bibliotheksabonnements, die in jüngster Zeit immer weitere Verbreitung finden, sind vor allem bei den für die Wissenschaft unverzichtbaren Titeln vielfach exorbitant und erreichen in Einzelfällen bis zu 1675 %.

Die grundsätzliche Frage, ob die Preisspaltung nach dem Status des Beziehers gerechtfertigt sei, wird von 58 % der Bibliotheken verneint. Demgegenüber akzeptieren 42 % grundsätzlich die Zweipreispolitik. In der Einschätzung dieser Frage spiegeln sich nicht zuletzt auch unterschiedliche Regelungen von Urheberrechtsfragen, des Kopierrechts bzw. der Bibliothekstantieme, wider. Es erscheint allerdings müssig, die alte vieldiskutierte Frage erneut aufzugreifen, ob und inwieweit die Zahl der privaten Abonnements durch das Zeitschriftenangebot in öffentlich zugänglichen Bibliotheken beeinflusst wird.

Sofern Bibliotheken den Unterschied zwischen der institutional und individual rate grundsätzlich für gerechtfertigt halten, so beschränkt sich die Akzeptanz darauf, dass die Preisdifferenz in einer tolerablen Grössenordnung liegt. Fast 70 % der

Bibliotheken vertreten die Auffassung, dass das mark-up eines Titels, dessen Preis für private Bezieher bei 100 liegt, 30 % nicht übersteigen darf; je 15 % halten einen Aufschlag in Höhe von 50 bzw. von 100 % für vertretbar.

In Anbetracht der Diskrepanz zwischen beiden Preisen versucht ein Teil der Bibliotheken beschaffungspolitische Konsequenzen zu ziehen. Einem Drittel der Bibliotheken gelingt es gelegentlich, bei Titeln, die ein extrem hohes mark-up aufweisen, Beschaffungswege zu beschreiten, die einen Bezug zum Preis für private Abonnenten ermöglichen. Es handelt sich hierbei aber wohlgemerkt in der Regel nur um Ausnahmefälle. Wenn man die Haltung vor allem der multinationalen Verlagskonzerne in Erwägung zieht, die sich in der Preispolitik unter ausschliesslicher Betonung des Warencharakters wissenschaftlicher Literatur als primär an der Gewinnmaximierung orientiert erweist, so verwundert es eigentlich, wenn seitens amerikanischer Bibliotheken — allerdings nur vereinzelt — diese rudimentären Ansätze bibliothekarischer Gegenwehr in der Umfrage für ethisch bedenklich gehalten werden.

Eine andere Möglichkeit, die Auswirkungen der Zweipreispolitik spurbar abzuschwächen, eröffnet die Mitgliedschaft in der jeweiligen Gesellschaft, sofern eine institutionelle Mitgliedschaft vorgesehen ist. 56 % der Bibliotheken wählen diesen Weg, um entsprechende Kostenvorteile beim Bezug eines Zeitschriftentitels zu erzielen.

3.3 Gespaltene Preise aufgrund der geographischen Lage der Bibliotheken

Eine zunehmende Zahl insbesondere international bedeutender Verlage setzt für Monographien, vor allem aber für Zeitschriften, in den ausländischen Märkten Preise fest, die gegenüber dem Originalverlagspreis im Erscheinungsland erheblich erhöht sind, und zwar ungeachtet dessen, ob die Preise in der Originalwährung oder in verschiedenen Währungen festgelegt sind. Mitunter werden die Auslandsmärkte in verschiedene Preiszonen aufgeteilt, innerhalb der die Preisaufschläge gestaffelt sind. Von dieser Ausprägung der Politik der gespaltenen Preise sind nicht zuletzt auch Länder der Dritten Welt betroffen.

3.3.1 Monographien

Ein Blick auf das beschaffungsmethodische Vorgehen bei ausländischen Monographien, wobei der Fragebogen gewichtete Mehrfachnennungen vorsah, zeigt, dass bei allen regional bedingten Unterschieden der Bezug über den Buchhandel im country of origin vor dem Bezug durch den Importeur oder lokalen Buchhandel, dem Verlag und sonstigen Beschaffungswegen dominiert.

Grundsätzlich sind die Bibliotheken in der Lage, die gespaltenen Preise im Bereich der Monographien — sieht man von Sonderbedingungen wie in Japan ab — entweder beschaffungspolitisch vom Ansatz her zu umgehen, indem sie im country of origin zum Originalverlagspreis kaufen, oder aber beim Bezug über den Importeur oder Ortsbuchhandel statt eines vom Verlag für den jeweiligen Auslandsmarkt festgesetzten überhöhten Exportpreises den ursprünglichen Originalverlagspreis als Berechnungsgrundlage vereinbaren. Ausgehend von dieser Basis lassen sich dann bei transparenter Rechnungsstellung unter Berücksichtigung von Faktoren wie Porto, service charge, Rabatten, Steuern und insbesondere Wechselkursen die Endpreise, aus der Sicht der Bibliotheken also die Kosten, ableiten und überprüfen.

In der Praxis jedoch weichen die Bibliotheken nicht selten von dieser beschaffungspolitischen Maxime ab, deren Realisierungsgrad in hohem Masse vom beschaffungsmethodischen know-how in den Bibliotheken, aber auch von der Leistungsfähigkeit der Bibliothekslieferanten abhängt. 73 % der Bibliotheken akzeptieren einen überhöhten Exportpreis als Berechnungsgrundlage aus Erwägungen wie Schnelligkeit der Lieferung oder vereinfachter organisatorischer Abwicklung.

Die Auswertung der Antworten legt die Schlussfolgerung nahe, dass man sich mancherorts noch nicht intensiv mit den gespaltenen Preisen bei Monographien auseinandergesetzt hat und man die vielfach eklatanten Preisunterschiede verkennt.

Da die Bibliotheken den gespaltenen Preisen in Zusammenarbeit mit einem leistungsfähigen Buchhandel im Prinzip wirkungsvoll begegnen können, gehen einzelne Verlage wie Bowker und Scribner in ihrem Vertrieb zur Must-Order-Direct (MOD)-Politik über. Indem sie den Buchhandel dadurch ausschalten, dass sie den Vertrieb auf den Auslandsmärkten durch Exklusiv-Auslieferungen monopolisieren, gelingt es ihnen, auch stark erhöhte Auslandspreise durchzusetzen. 94 % der Bibliotheken sehen sich in diesem Fall ausserstande, alternative Beschaffungsmöglichkeiten zu erschliessen.

3.3.2 Zeitschriften

Unter den bei ausländischen Zeitschriften beschrittenen Beschaffungswegen nimmt die internationale Zeitschriftenagentur die Spitzenstellung ein. Mit deutlichem Abstand folgt der Buchhandel im country of origin vor dem Direktbezug beim Verlag und dem Importeur bzw. lokalen Buchhandel.

Während beim Bezug ausländischer Monographien die Politik der gespaltenen Preise grundsätzlich umgangen werden kann, ist dies beim Bezug ausländischer Zeitschriften in der Regel nicht ohne weiteres möglich. Da die Zeitschriftenhefte auch beim Bezug über eine Agentur direkt vom Verlag an die betreffende Bibliothek versandt werden, verfügt der Verlag über die Information, die für die Durchsetzung der Politik der gespaltenen Preise erforderlich ist.

Es ist offensichtlich, dass die Bibliotheken mit dem Problem der gespaltenen Preise bei Zeitschriften stärker befasst sind als bei Monographien. Dies manifestiert sich auch darin, dass ein Drittel der Bibliotheken über die im Fact Sheet genannten einschlägigen Verlage hinaus weitere Verlage und Zeitschriftentitel benennt, die unter dem Aspekt der Politik der gespaltenen Preise in besonderer Weise aufgefallen sind. Dass in diesem Bereich das Problembewusstsein stärker ausgeprägt ist, wird schliesslich darin greifbar, dass immerhin in 11 % der Bibliotheken Berechnungen über die daraus resultierenden zusätzlichen Etatbelastungen angestellt wurden. Wenn in grossen Häusern Beträge in einer Grössenordnung von jährlich 200 000 bis 300 000 ermittelt wurden, so wird man dies selbst bei wohlwollender Interpretation wohl kaum mehr als eine quantité négligeable einstufen können.

Freilich besteht auch bei Zeitschriften grundsätzlich eine Möglichkeit, die überhöhten Exportpreise zu umgehen. Im sogenannten buying around können Zeitschriften über die Adresse eines im Erscheinungsland ansässigen Händlers oder einer Agenturniederlassung zum jeweiligen Inlandspreis bezogen werden. D.h. die Zeitschriftenhefte gehen vom Verlag nicht direkt an die Bibliothek, sondern grundsätzlich über die Adresse des Händlers. Dieser beschaffungsmethodische Ansatz ist jedoch an zwei Voraussetzungen geknüpft: einmal daran, dass der Verlag nicht die Offenlegung der Bibliotheksadresse fordert, zum anderen daran, dass die Preis-und Rabattstruktur des betreffenden Zeitschriftenpakets die Übernahme der durch den zusätzlichen Service des Buchhandels bedingten Kosten ökonomisch sinnvoll erscheinen lässt. Knapp 20 % der Bibliotheken beschreiten in verschiedenen Erscheinungsräumen den Weg des buying around, wobei einige Häuser darauf verweisen, dass diese Beschaffungsstrategie seitens der Verlage zusehends erschwert wird. Andererseits gewinnt man den Eindruck, dass die Möglichkeiten des buying around nicht ausgeschöpft werden.

Eine andere Methode, der geographischen Preisdiskriminierung entgegenzutreten, besteht darin, dass ausländische Tauschpartnerbibliotheken die im Export überteuerten Veröffentlichungen zum Originalpreis erwerben. Dieser Weg, der von 37 % der Bibliotheken in Erwägung gezogen wird, ist freilich in Anbetracht des zusätzlichen Personalaufwands nur in Einzelfällen gangbar, also bei extremen Exportaufschlägen für hochpreisige Titel.

Während die Preisspaltung nach dem Status des Beziehers zumindest innerhalb tolerabler Grenzen von einem Teil der Bibliotheken akzeptiert wird, stösst die Tatsache, dass wissenschaftliche Literatur auf Auslandsmärkten zu erhöhten Preisen angeboten wird, fast ausnahmslos auf strikte Ablehnung. 99 % der Bibliotheken unterstützen nachdrücklich die Forderung, dass die Verlage für wissenschaftliche Literatur, die mit Wirtschaftsgütern wie Automobilen nicht völlig gleichgesetzt werden darf, grundsätzlich einen weltweit geltenden Originalpreis in der Währung des Erscheinungslandes festsetzen sollten.

3.4 Reaktion der Bibliotheken

Auch wenn nur vereinzelt in Kommentaren explizit zum Ausdruck gebracht wird, dass man durch den Fragebogen auf bestimmte Probleme aufmerksam wurde, so darf doch davon ausgegangen werden, dass die Umfrage, deren Zielsetzung in der Datenerhebung wie in der Aufklärung bestand, den Anstoss zu einer intensiveren Auseinandersetzung mit diesem Fragenkomplex gibt, nicht zuletzt unter dem Aspekt, wie seitens der Bibliotheken auf die Politik der gespaltenen Preise reagiert werden soll. Die Politik des dual pricing darf und kann hierbei nicht isoliert von der allgemeinen Preisentwicklung wissenschaftlicher Literatur betrachtet werden; sie ist vielmehr im Kontext der allgemeinen Preispolitik zu sehen, die infolgedes-

sen in die Fragestellung des letzten Teils der Erhebung einbezogen ist.

Die für das weitere Procedere in der Frage der Preispolitik, insbesondere unter dem Aspekt der gespaltenen Preise, formulierten Vorstellungen der Bibliotheken seien abschliessend in einer kurzen Zusammenfassung skizziert.

Die Etatsituation hat sich so weit zugespitzt, dass sich die Reaktion der wissenschaftlichen Bibliotheken nicht mehr auf verstärkte Bemühungen um fund raising beschränken darf, zumal auch immer die Gefahr besteht, dass ein berechtigtes Anliegen vom Unterhaltsträger nurmehr als Topos gewohnheitsmässig lamentierender Bibliothekare rezipiert, die Brisanz der Aussage verkannt wird.

Es ist jetzt, so die Auffassung von 90 % aller Bibliotheken, vor allem erforderlich, in unmittelbaren Kontakt mit den Wissenschaftsverlagen zu treten, um im direkten Dialog die tiefgreifenden Auswirkungen der ausschliesslich an Gewinnmaximierung orientierten Preispolitik deutlich zu machen. Die Verlage müssen erkennen, dass die durch überproportionale Steigerungsraten geprägte Preisentwicklung Kaufkraftverluste der wissenschaftlichen Bibliotheken heraufbeschwört, die die Literaturversorgung, die internationale Verbreitung grundlegender Forschungsergebnisse und damit letztlich die Öffentlichkeit der internationalen Wissenschaft massiv gefährden. In das Gespräch einbezogen werden muss unbedingt der Buchhandel, nicht zuletzt in Anbetracht der Rabattkürzungen, die eine verdeckte Form der Preissteigerung darstellen.

Der Dialog mit den Verlagen setzt aber, soll er sich nicht im unverbindlichen Austausch von Gemeinplätzen erschöpfen, voraus, dass fundierte Analysen der Preisentwicklung wissenschaftlicher Literatur erarbeitet werden. Preisindizes müssen die Preisentwicklung in den einzelnen Erscheinungsräumen differenziert nach Fächern und Literaturtyp erfassen, wobei im Bereich der Zeitschriften die These der Umfangserweiterung durch price per page-Berechnungen zu verifizieren ist. Schliesslich gilt es, vor diesem Hintergrund die Preispolitik einzelner Verlage, vor allem unter dem Gesichtspunkt der Preisspaltung, zu untersuchen.

All dies kann nur in Zusammenarbeit der Bibliotheken auf nationaler und internationaler Ebene geleistet werden. Unter diesem Aspekt erweisen sich die Angaben, welche bibliothekarischen Institutionen oder Arbeitsgruppen sich in den einzelnen Staaten derzeit mit diesem Themenkomplex auseinandersetzen — es sei hier nur das Serials Prices Project der ARL genannt — als überaus wertvoll. Als nächster Schritt muss deshalb die Einrichtung einer Clearing-Stelle bei der IFLA, gegebenenfalls in Kooperation mit LIBER auf europäischer Ebene, angestrebt werden, die einen Informations-austausch zwischen den auf diesem Gebiet aktiven Arbeitsgruppen herbeiführt, aber auch eine koordinierende Funktion in der Abstimmung der Arbeitsvorhaben wahrnimmt und schliesslich die Veröffentlichung der Arbeitsergebnisse und deren Verbreitung unterstützt.

Ziel muss es sein, die Bibliotheken durch möglichst aktuelle und weit verbreitete Veröffentlichungen über die Politik der gespaltenen Preise einzelner Verlage zu informieren. Erfahrungen zeigen, dass Darstellungen derartiger Praktiken durchaus nicht wirkungslos bleiben, sondern bei den jeweiligen Verlagen sehr wohl Beachtung finden. Ebenso wichtig ist die Aufklärung der Bibliotheken über Beschaffungsstrategien oder auch über gesetzliche Grundlagen für Gegenmassnahmen. So dürfen Verlage innerhalb der EG den Bezug von Literatur im country of origin zum günstigsten Preis nicht verhindern. Dies hat z.B. die Erwerbungskommission des DBI im Falle Pergamon zu entsprechenden Initiativen veranlasst.

Angesichts der Konzentrationsbewegung und zunehmenden internationalen Verflechtung im wissenschaftlichen Verlagswesen erweist sich, wie einhellig, d.h. von 98 % der Bibliotheken, gefordert wird, ein stärkerer Zusammenschluss der Bibliotheken in dieser Frage als unerlässlich, um den weltweit operierenden Verlagskonzernen wirkungsvoll entgegentreten zu können. Auf nationaler wie internationaler Ebene müssen Bibliotheken und Bibliotheksverbände in Verhandlungen mit einzelnen Verlagen und Verlegerverbänden, gestützt auf Analysen, die prekäre Situation der wissenschaftlichen Bibliotheken mit allem Nachdruck deutlich machen. Es würde die Verhandlungsposition der Bibliotheken stärken, wenn es ihnen gelingt, die Unterstützung seitens der Wissenschaftler in ihrer Doppelrolle als Autor bzw. Herausgeber und zugleich Nutzer wissenschaftlicher Literatur zu gewinnen. 87 % der Bibliotheken sehen es deshalb als eine wichtige Aufgabe an, die derzeit noch bestehenden Informations-defizite abzubauen und die Wissenschaftler über die Preispolitik eines Grossteils der Wissenschaftsverlage und deren Konsequenzen für die Literaturversorgung aufzuklären. In diesem Zusammenhang sollte in der Diskussion mit den Verlagen auch die Überlegung eine Rolle spielen, dass Forschungseinrichtungen für die Publikation ihrer Forschungsergebnisse nicht unbedingt mehr auf Verlage angewiesen sind, sondern dass die technischen Voraussetzungen für alternative Formen des wissenschaftlichen Publikationswesens gegeben sind — eine Auffassung, die insbesondere in den USA jüngst prononciert vertreten wird.

Gezielt gegen bestimmte Verlage gerichtete Massnahmen wie konzertierte Abbestellaktionen oder ein Kaufverzicht, deren Durchführung in der Praxis mit erheblichen Schwierigkeiten verbunden ist, sollten erst als letzter Schritt in Betracht gezogen werden. Bemerkenswert erscheint jedoch, dass 63 % der Bibliotheken darin durchaus ein probates Druckmittel sehen, um die Verlage zu einer Modifizierung ihrer Preispolitik zu veranlassen. Unter den Bibliotheken, die solche Massnahmen nicht für sinnvoll halten, machten einige — amerikanische — Bibliotheken rechtliche Bedenken geltend.

Die Bibliotheken sollten in der Auseinandersetzung mit den Verlagen nicht die Konfrontation, sondern den Dialog suchen, in dem die Position der Bibliotheken allerdings mit allem Nachdruck behauptet werden muss. Inwieweit es in den Verhandlungen gelingt, die Verlage in der Frage der gespaltenen Preise und der Preispolitik insgesamt zum Einlenken zu veranlassen, bleibt abzuwarten. Eine naiv optimistische Einschätzung ist sicherlich ebenso fehl am Platze wie eine passiv resignative Haltung. Die Position der Bibliotheken ist keineswegs von vorneherein als aussichtslos einzustufen, sofern sich die Bibliotheken in dieser Frage auf nationaler und internationaler Ebene stärker zusammenschliessen und ihr gemeinsames Interesse vereint vertreten. Dazu den Anstoss zu geben, war Ziel der Initiative der IFLA-Section on Acquisition and Exchange.

ANMERKUNGEN

1 Eine Überarbeitung erschien inzwischen in englischer Übersetzung unter dem Titel "Differential pricing in the international book market" im *IFLA Journal* 1989 (Heft 1, S. 37-43). Eine aktualisierte und gekürzte deutsche Fassung wurde im *Bibliotheksdienst* 1989 (Heft 4, S. 361-369) abgedruckt. Auf weitere Literaturangaben wird an dieser Stelle verzichtet. Im Zusammenhang mit dem Abschlussbericht werden die wichtigsten Veröffentlichungen zu diesem Themenkomplex zusammengestellt.

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Some realistic proposals to overcome the financial barriers to international document delivery

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Abstract

International document delivery poses many problems, the most complex of which is payment. Differing attitudes to charging, currency restrictions and a diversity of interlending models within countries all contribute to the difficulties encountered. The author suggests a voucher system which would be internationally recognised as valid for document delivery transactions. This would avoid direct payment for many transactions and also overcome some national difficulties when libraries may not retain money received for services. The solution is not total but a contribution to an improvement in the present chaotic situation.

Introduction

There can be no doubt that international document delivery is a vitally important part of the information chain. Knowledge has never really known boundaries except those imposed by physical conditions or political systems. Language may be a barrier to some. In a world where information transfer can take place in a few seconds over very long distances, the limits to sharing such information are imposed less by geography and politics and more by the ability to pay for the information.

Unfortunately, payment is an activity with strong political

implications for the economic structure of a country or region. Thus the growth in the ability to communicate has not been matched by the freedom to pay for that communication. Here is the real problem of the financing of international document supply.

This is not the first time that the problem of payment for international document supply has been examined but I deliberately did *not* read what else had been written on this subject until after I had come to my own conclusions[1,2], to test if the problems really are as difficult as I believed. Unfortunately, I have found that my view — that there is no easy solution — is exactly the same as that of those who have thought about this problem before me!

Volume of international document supply

The international supply of documents is growing fairly steadily although there are no accurate figures available to give a detailed picture of current increases. The IFLA Office for International Lending has carried out statistical surveys of the volume of traffic over quite a long period but these figures have become increasingly unreliable. The 1984 survey[3], for example, showed that although over 403,000 requests were sent abroad by those libraries replying to the questionnaire, the same libraries actually received over 1,070,000 requests. This has been a trend in these statistics throughout their collection. Perhaps it is easier to talk about the *turnover* in requests rather than separate figures for lending and borrowing. By "turnover" I mean to add together all requests received and all requests sent to give one figure. Using this basis there was a growth of 16.5 % between 1982 and 1984 and of 13.2 % between 1984 and 1986, the last year for which statistics were collected. It is clear, however, that these figures, which are collected from national centres in each country, do not show large numbers of transactions carried out directly between smaller libraries (often commercial or industrial) and other small libraries or document supply services such as the British Library Document Supply Centre (BLDSC) or commercial suppliers such as those in the USA. Thus the volume of traffic may well be over 1.75 million requests a year.

This is quite a lot of traffic, although it is less than the number of interlibrary loan requests handled within the UK in a year. The amount of money involved must be considerable. If we assume there were 1 million successful transactions and each transaction were to cost only £5.00, the total amount of money involved may be in the region of £5m per annum. Some people will say this is a false figure because many of these transactions are not charged for, but *someone* has to pay the costs; these cannot be hidden in a discussion of this sort.

Current charging practices

Practices for charging vary considerably from country to country and even between different types of institution within a country. Some charge for all types of international document supply, loan, microform or photocopy. Others charge only for photocopies. Some require prepayment, others send invoices. Some accept British Library or Unesco coupons, others will not. There are reciprocal agreements between some countries which lend and borrow about the same numbers of items from each other. Some libraries make no charge at all. Some charge to some countries and not to others. It would be foolish to suppose that by one single agreement all these different systems could be swept away and a new era would begin with unanimous international agreement.

So is there any point in discussing the matter at all? Would it not be better to simply accept the diversity of practice and cope as best we can? I think that is being defeated before the battle has begun! The possible alternatives can at least be explored and the possibility of a little progress may encourage us to go a little further.

International models of supply

A basic difficulty at the moment is that there are so many different models of international document supply and payment for it. The system generally agreed of having one national centre of all international document supply is gradually breaking down in the face of growing access to online catalogues, electronic mail and the vast growth in the demand for photocopies instead of loans which enables small, independent libraries to apply directly for the documents they need to whatever source they can find and so circumvent the national centre (if there is one).

Problems are not too severe when countries operating the same system are involved in any transaction. The real difficulty comes when different systems meet. For example, if both country A and country B regard interlending as a basic part of the library service for which there should be no charge, then documents can flow between them without any problem. Similarly, if country C and country D both charge, then each will expect to pay the other at whatever rate is agreed. These are the two simplest and most extreme examples. If country A, however, tries to borrow from country C then problems arise. A expects the service to be free, C expects A to pay which may cause friction between the two countries. Equally, country A may not be able to pay because library budgets do not cover costs of interlending (there are none in the country concerned) or libraries may not be allowed to pay for interlending under state legislation. More complicated still is the situation where there is no national policy and some libraries may charge and some may not.

Requesting libraries will have no idea whether they are to be charged for a request until it has been sent. Asking for quotations before having a document supplied can be a long and tedious business using international postal services and other means of communication may be too expensive. In the situation where some countries charge but give free services to certain other countries, this may distort interlending patterns because the free source, which may not be the best source, will usually be preferred by the requesting library. This plethora of different models and systems only makes the basic problems worse.

Some basic problems

These basic problems will be examined next. There are several of them to be considered when looking at payment for international document supply. These are basically economics, politics and the pattern of international document supply. All of these pose questions which cannot easily be resolved, if resolved at all. Perhaps looking at them frankly will at least help us all to realise that this is a much more complex issue that we like to believe.

- *Economics*

Many librarians dream of a time when such services as interlending will be free from all charges. Unhappily, that day is unlikely to come. Interlending is an expensive business. There are considerable costs to be paid by *someone* in the system somewhere. Staffing, record-keeping, photocopying, postage, packing and loss all cost money. Few countries or libraries are in the fortunate position of being able to add these costs into their budget on behalf of other libraries. Therefore the cost must be paid by someone, preferably the requesting library. Although the IFLA Office surveys show that the majority of *requests* come from libraries in developed countries, the majority of *libraries* making requests are in *Third World* countries. Few of these libraries have the funds to pay for interlending and rely on the generosity of their professional colleagues or supportive governments in developed countries.

- *Politics*

There are two areas in which politics affect international document supply. Firstly, the restrictions placed on currency prevent payments being made for services provided outside the country in question. This means that a library cannot pay in cash for a document supply from outside. The librarian must rely on goodwill or exchange arrangements, perhaps of publications in return for services. Secondly, it may be the view within a country that interlending is part of literature provision for the people and should be free. This prevents a library from paying for supply from outside even though it may well have the money to do so. This problem applies in both developed and Third World countries.

- *International document supply traffic patterns*

The vast majority of requests received for international document supply are received by developed countries. Statistics show that nearly 98 % of requests are sent to developed countries, and over 60 % of these go to the BLDSC. Similarly 95 % of all requests come from developed countries so that in terms of volume of traffic the problem is primarily one for the developed world. Also, the existence of document supply services such as BLDSC serve to distort the patterns even more.

The overwhelming size of traffic between developed countries should not be allowed to obscure the importance of this issue for Third World countries. If someone needs a document, they need it and it is no help to tell them they are such a tiny statistic they do not count for much! A reader is a reader wherever he is and whatever his needs.

Improvement but not a solution

Given that there is no way everyone involved in international document supply will agree to a single system for payment, or non-payment, can anything be done to reduce both the confusion and also the number of financial transactions taking place ? There may be a way to achieve this much reduced goal.

What is needed is a system which will not require a financial transaction each time a request is satisfied. One way to achieve this would be a system which would provide some recompense for the lending library without the need for money to change hands. By using an internationally recognised system of vouchers, many transactions could be carried out simply and easily without the expense of a lot of administration. What is proposed is a system of vouchers which would be recognised as valid for an international interlending/copying transaction without further payment being made. Thus each transaction would be accompanied by a voucher which would be worth a further transaction to the library receiving it. Value would be transferred without money changing hands. Although this kind of international library currency has its problems, I believe it offers a partial solution to a growing problem.

How it might work

All libraries agreeing to join the international voucher scheme would use a voucher which would be valid for one loan or a specified number of pages of photocopy between any two libraries participating in the scheme. The requesting library would sent the voucher with the request. The supplying library would retain the voucher until it wants to make an international request when the token can be used for this and so on. In this way an unlimited number of transactions can be carried out without any money changing hands. The vouchers could continue to circulate indefinitely or until they wore out physically !

This system can work without any time limit so long as the number of requests made and received by each library are approximately the same.

Finance

Unfortunately, as mentioned already, such balances are rarely found either between libraries or between countries. Therefore there must be a mechanism to deal with the so-called "net lenders" and "net borrowers". (A net lender is a library which supplies more material on interlibrary loan than it requests and a net borrower borrows more than it lends). A great deal has been said about net lenders and the problem of recompense for them. However, the real problem, in my view, is the net *borrower* and I shall return to this problem in a moment.

Net lenders usually require some kind of recompense for their contribution to the wider availability of materials. To arrange this, some kind of payment needs to be made and this means giving the token some kind of value and providing some mechanism to exchange the vouchers for cash. What is wanted is a sort of library bank, a phrase I borrow from Marc Chauveinc of the Bibliothèque Nationale here in Paris.

• *Net lenders*

To achieve any sort of payment the voucher would have to have an intrinsic value both for the purposes of repayment to net lenders and also for initial purchase. For once actual value is given to the voucher then everyone must buy into the system to provide the money for those who require repayment. The result in theory is that whoever acts as banker will have a certain reserve of money because, once the vouchers have been sold there will also be a period when some have not been redeemed ; indeed some never will be because they are used by those libraries whose interlending transactions are roughly in balance. Others would be kept for future use by supplying libraries and the money never reclaimed. There should always be money in the "bank" to repay those who sent in their vouchers.

• *Net borrowers*

This would deal quite well with the "net lender" but the real problem is the "net borrower". In numerical terms, the majority of net borrowers internationally are in Third World countries where money is scarce and currency not available to send abroad. However, the statistics show that the total number of requests sent abroad by Third World countries is only about 12,000 per annum. This figure includes only requests sent through the national centres and more traffic is generated from special and industrial libraries than the figures reveal. Such libraries might not be eligible to join any voucher scheme unless membership were paid for by the appropriate government. Using my previous figure of £5 per international request, the total cost to international aid might be as low as £60,000 per annum. Now this figure of £5 is very low and would cover only the most basic costs of servicing a request and is certainly open to modification, but even if the figure were doubled the global sum is not large. A very small proportion of this cost would be offset by vouchers received in Third World countries for requests which they have supplied.

• *Currency restrictions*

Some countries do have funds for such activities as interlibrary loan but money cannot easily be sent abroad to pay for international services. The only easy solution to this is either that some kind of exchange arrangements are made in the form of publications or other services or that the country becomes a net lender within the scheme, thus building up a reserve of vouchers to be used later on. Perhaps such countries could start off with some "credit" at the "bank" against which they could count a certain number of satisfied international loan requests satisfied.

• *Politics and policies*

There are a number of problems linked with different policies over interlending. If a country regards this as a free service both within and beyond its borders, that country will not wish to be involved in a voucher system. This will distort any system established because that country will attract requests from those countries which have limited access to the voucher scheme for reasons already mentioned. The country offering a "free" service may not be the best to satisfy requests either because of limited resources or because of speed of supply or quality of service. This distortion will eventually lead to a poorer service and, eventually a more expensive one in terms of time and effort for those countries following this path. If, idealogically, they can be persuaded to accept the vouchers, because they are not actually "money", they would be able to use services from other countries with a different view.

In those countries where international document supply is decentralised there would be a case for establishing a central clearing-house for the vouchers, if not for the actual transactions, so that any library in deficit could apply to the centre for extra vouchers if they held any without the problems of movement of currency purchase from the "bank" might create.

Some countries decline to charge simply because the national policy is that any income earned by such services as universities, libraries or other publicly-funded bodies must return at once to the national or regional government and not be retained by the institution providing the service. Again, the vouchers would be of no worth to a general government fund and could be re-used for services for which payment might otherwise have to be made.

• *Document supply services*

There are numerous document supply services throughout the world, the largest and most general in scope being the BLDSC. There is no intrinsic reason why such services should not join a voucher scheme if they so wished although they would obviously be net lenders and regularly come to the library "bank" to redeem vouchers. Their charges tend to be different from those of interlibrary loans departments in large libraries, usually higher. However, the voucher could be used as part-payment if desired. Many users of such services would not wish to become involved in a voucher scheme, preferring to pay directly for services provided as a normal commercial activity. Individual governments might wish to pay for organisations to join the scheme but that would be for each country to decide. Most commercial document suppliers are entirely net lenders as they do not generate requests for any documents. In the case of BLDSC the number of requests sent overseas is only 1.75 % of the total number received from overseas[4], so there would clearly be an imbalance !

Conclusion

I did not expect to find a solution to these problems when I began to think about them but I do hope that something may come out of the points raised. There are many questions : where would the "bank" be ? Who would finance those countries who cannot afford to join ? What value would the voucher have and who would manage the scheme ? But all these are operational questions : the real issue is whether this idea could bring any benefit to the international library community and, if so, would it work in however limited a form. I think it would improve matters and simplify the administration of

international document supply. The attitude of major net lenders would be crucial to its success.

Finally, the figures quoted in this paper are based on very inadequate data, much of which is simply not being collected. Attempts to improve this situation have met with only partial success but real data would be necessary to estimate the probable volume of traffic in such a scheme.

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20-SER-1-E

Adopting UNIMARC as a national format : the Portuguese experience.

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ABSTRACT

The paper describes the Portuguese experience in implementing UNIMARC as a national format on the making of an Union Catalogue on-line (PORBASE).

It focuses the input of serials data emphazysing similarities and differences between UNIMARC and ISDS.

In 1985 the Biblioteca Nacional at Lisbon, Portugal (BN) began its preparation for automation. The main purpose was to automate cataloguing and acquisitions procedures and provide a full on-line access to a machine-readable database. At first the automation was intended only for the BN services but very soon we came to the conclusion that it was better to extend it to other libraries in Portugal which would contribute to create a union database thereby sharing resources in terms of hardware, software and most important of all, data itself.

Legally, the Biblioteca Nacional manages and maintains the Union Catalogue services, so the option for a network evolving other Portuguese libraries seemed very obvious. Another argument that seemed important for all libraries was the difficulty that most of them had to afford their own automation.

Standard procedures had to be very effective and the first step we took was, of course, the choice of a national format. Investigation on existing practices and formats among other national libraries took place and after some research we concluded that the available options were mainly two : either to design a Portuguese MARC format, or to choose one among the existing ones.

At first, the idea of designing a Portuguese format seemed interesting but soon we came to the conclusion that it would take a lot of time and the results would not lead us to a very different format from other existing MARC formats. Another problem that arose very clearly was the question of compatibility ; not considering it could mean that we would be on our own, and apart from international exchange matters.

So the decision came to choose one of the international exchange formats available as a basis to the Portuguese national format. We took in consideration some preliminary points :

1. Participants in the network would be mainly libraries so the format should be a library-type record format for data entry ;
2. Descriptive cataloguing procedures, in Portugal, have implemented ISBDs since 1977 and the Portuguese Cataloguing Code (*Regras Portuguesas de Catalogação*) published in 1984 is very much based on AACR2. This means that the main record structure had to be an ISBD one ;
3. The database was mainly intended to be a national network, and a shared cataloguing experience but in addition BN hoped to be able to cooperate with other national libraries ; thus, the format had to be compatible for exchange with those institutions.

All these considerations led to the final decision : a national format for Portugal ought to be based on UNIMARC. In fact UNIMARC had been designed to be compatible with such national formats as UK MARC, US MARC or MAB 1 ; and it appeared to be more up-to-date then the majority of national MARC formats partly because of its linking structure, and partly because it was recommended by IFLA.

Being a national library on the verge of automation, we thought we had no alternative but that one. To follow international recommendations would made things easier for Biblioteca Nacional, and the problems of compatibility in the international exchange of data could be solved.

All these reasons are very important, of course, but in our comparative study of different formats the question of adjustment to our patterns was even more important.

It became very obvious to us, when we studied UNIMARC that the format adjusted perfectly to our needs not only in what concerns description but also in accomodating the kind of access points we were used to. When describing it to other libraries we understood it fitted their idea of a format for bibliographic records and we all agreed on a most important aspect : with UNIMARC there was no need to put aside our traditional patterns and standards and staff training would by easy, requiring few adjustments and alterations.

We had then to prepare format definitions on those cases that UNIMARC had optional ways of creating either the record itself or a field, knowing that the result would be the Portuguese MARC format based on UNIMARC.

Choosing the format was the first step, but defining its implementation was the second one. At the same time it was also necessary to analyse the format having in consideration different kinds of records for different sorts of materials.

In fact, the idea of a national on-line Union Catalogue (which from very early we called PORBASE — Portuguese Bibliographic Database) meant the accomodation of records coming from all sorts of libraries and, of course, there would be records for monographs, serials, graphics, sound records, cartographic materials, etc. Those records would be current ones but the main intention for all participants was to develop a retrospective conversion program to extend the capabilities of the database.

Again the study we made of UNIMARC format was rather satisfactory in theory and we made a test, for all kinds of materials existing in Portuguese libraries coming to the conclusion that UNIMARC would fit.

By the end of 1986, an UNIMARC Instructions Manual based on the UNIMARC Handbook was provided for application at PORBASE. At the beginning of 1987 staff training started not exclusively for Biblioteca Nacional cataloguers but also for those from other libraries.

Software applications were another problem to solve during 1986, and when we started UNIMARC training the UNESCO's Mini-Micro CDS/ISIS was already available in a PORBASE version that was due to implement UNIMARC. This version parametrized and translated by BN staff, was meant for a training tool because the main purpose still was the acquisition of a mainframe that ought to accomodate the Union Catalogue. The possibility UNESCO gave to Biblioteca Nacional to be the national distributor of Mini-Micro CDS/ISIS was a great step forward for Portuguese libraries. In other words, it meant the possibility of automating their catalogues, using national standards and loading their records, through batch procedures, onto the national database.

Biblioteca Nacional purchased a GEAC 9000 which was loaded in batch during 1988 with records created using Mini-Micro CDS/ISIS software, and produced simultaneously at BN and other Portuguese libraries. The option was to start in 1988 with OPAC made of offline created records, and gradually moving to online cataloguing. In March 1989 at BN we began online procedures for current cataloguing but we still maintain batch (Mini-Micro) for retrospective conversion.

PORBASE has now around 130000 records mainly produced at Biblioteca Nacional but with large participation of other libraries. Some of them are now starting the online cataloguing and will be onwards working online. Nevertheless the majority of libraries send us their UNIMARC records in floppy disks for later loading.

This means that a great effort was taken during 1987 and 1988 to train staff, and even now we are always running new courses, follow-ups or lectures.

The other important question was the UNIMARC implementation Biblioteca Nacional developed, either in Mini-Micro CDS/ISIS or in GEAC. Softwares had to be parametrized and evaluated for the format ; this kind of work was completely new to us, as we were one of the very first libraries to adopt UNIMARC as a national format.

We use UNIMARC for all sort of different purposes. For instance, National Current Bibliography is made by computer with UNIMARC records along with other bibliographies. Screen formats were also developed for the CDS/ISIS application, and specially for GEAC, considering OPAC became available in Portugal and abroad, from May 1988. Printouts and screens show up an ISBD record with full application of UNIMARC format. Nevertheless, we have not started yet the data preparation for international exchange.

Thus, this is the state-of-the-art when evaluating UNIMARC as the national format in Portugal.

But the main objective of this paper is the evaluation of UNIMARC as a format choosed for international exchange of serial bibliographic data. We have mentioned previously that UNIMARC was the only format chosen, and that it accomodated to all kinds of materials including serials.

Still, when we started applying UNIMARC, ISDS format was already known in Portugal since the creation of the national center in 1983. When in October 1987 the Biblioteca Nacional took over the ISDS Center, the Serials Department began to fulfill the input sheets for the ISDS International Center.

Having a very small amount of new titles per month it was useless to think of sending them on a magnetic tape. As the Department was involved at the same time with UNIMARC records preparation and with ISDS ones, we soon realized how important compatibility between them would be.

A conversion program is absolutely necessary specially for records received from the International ISDS Center that describe serials not yet loaded in PORBASE but that exist in Portuguese libraries. With such a program ISDS records can be converted in UNIMARC and it will only be necessary to add local information such as call number, location, status, etc.

On the other hand, all the remain serial records received, even if the items do not exist in Portugal, can be of interest to inform PORBASE users of new titles, special editions, etc. issued in other countries.

Therefore we carried out a comparison study that points out the formats similarities and differences. It is intended to be the beginning of a conversion program which is only likely to be accomplished during this year. At the moment all exchange has to be made in UNIMARC.

As for CCF, the other format that is meant for international exchange, we have not considered any study on compatibility for the moment. CCF was one of the formats we studied at the first phase of the automation process. We had then concluded that CCF had a record structure perhaps more flexible than UNIMARC, specially for component parts records but it was less specific in its data element definition with no clear accomodation to ISBD description principles.

UNIMARC and CCF can be compatible as far as we know, and even if we are not to develop a program to guarantee compatibility among them, as we intend to do with ISDS, we are still interested in knowing what achievments on that area are or will be done.

It is now important to give a broad idea of how we apply UNIMARC for serial records. Each record has a cataloguing structure of level 2, coded information fields — particularly the serials ones — along with linking fields whenever necessary, and access point fields.

We apply UNIMARC as prescribed in *UNIMARC Manual* (2nd ed.) with the exception of block 4. In Mini-Micro CDS/ISIS software (2nd version) it was not possible to link records, so we could not implement block 4 in that software. As the records linking structure offered by GEAC is completely different from the embbeded one UNIMARC prescribes, we decided to use block 4 tags to produce links but with GEAC's specifications.

This situation is particularly important in serials records because the great majority of links is made for serials in order to state their bibliographic history.

Other adjustment we made, when adopting UNIMARC, had to do with ISDS recommendations. For instance, we do not use fields 432 and 433 (Supersedes and Supersedes in Part) because they are no longer recommended by ISDS and have been subsummed under 430 and 431 (Continues and Continues in Part). Also 437 (Separated from) is not recommended by ISDS and is included in 431 (Continues in Part).

There is another problem which is not as important for international exchange as it is for national purposes. It is the state of the serials collections. UNIMARC cannot solve it because it has to do with local holdings but in our situation, being a union database, no serial record could be inputed without bringing information about its location, shelf number and in case of irregularities, more or less detailed holdings information.

So, since the beginning of UNIMARC application in PORBASE, with CDS/ISIS, we developed a national field that contains all that sort of data relating to a particular shelf number in a particular location. Note that we do not have, for the moment, a complete record of the serial status but only information about the existing issues or other local notes when the serial is no longer being published or when the collection in not complete. Nevertheless it is within our scope to provide, during 1990, a more detailed information for current serials.

For local holdings we are using GEAC tags 966 and 930 which accomodate, rather satisfactorily to our needs concerning serials collections in libraries. There are still some adjustments to be made mainly concerning the information which is present when an online serials search is done. We think it is important not only to store but also to display holdings information to be seen by users when they are doing their searches.

It is also an important matter for other libraries because if a serial record already exists on the database they have to be sure of his holdings record contents in order to add not only another location but also a more detailed information about his status. Thus, we think we can get to a considerable amount of data on serials records that is fundamental for lending programs, online users, etc.

The applications of UNIMARC are, as can be stated, very large : not only it is used as a national format but also it is the basis to prepare the international exchange of bibliographic data, including serials data. We also use it to input data, produce printed outputs and on-line searches ; all libraries that are members of PORBASE use the format for similar purposes.

Those libraries can be on-line for searching with Biblioteca Nacional which is the Coordinating Body. But we will keep on receiving data information on flopy disks coming from small libraries for which it will not be necessary to be cataloguing on-line. That means, of course that Biblioteca Nacional must give a good assistance for both kinds of participants, and a major part of that support is training on the format itself.

We have mentioned before the courses and workshops we runned at the beginning of 1987, mainly to promote a national interest for automation, and a preparation for cataloguing with UNIMARC. We believe that the maintenance of the format is a challenge as big as when starting applying it, and so we keep on organizing courses, lectures, regular workshops or individual meetings with PORBASE partners in order to ensure the necessary standards in the data base, and in UNIMARC's utilization too.

This kind of technical support is backed up by several publications : a UNIMARC users guide, users manuals for the Mini-Micro CDS/ISIS and GEAC softwares, technical informations about the use of some of the fields, for instance block 4 or local holdings fields, etc.

It is a very stimulating work and we are proud to do it, and to be able to present the results but, of course, there are also problems which become difficult to sort out. One of them is the existing gap between Biblioteca Nacional expertise and other libraries. That tends to push them either to accept with no comments the situation that is provided for them, or to misuse the software and the format available jeopardizing all standards.

This is particularly important in serials records because it is a kind of cataloguing which is not very spread out in Portugal. People prefer to maintain a holdings file (KARDEX) which can answer to their local needs and not to catalogue the serial as ISBD(S) recommends. Furthermore, it is very common to misunderstand a serial record which tries to establish a description for an item from its beginning till its end according to ISBD(S) principles, with a record created for a serial at the time the serial was acquired by the library.

Generally speaking, librarians from specialized libraries tend to ignore ISBD (S) cataloguing claiming that their users find it awkward because it does not state the library collection and

underlines a situation which is not real in most cases *e.g.* the serial since it was received in that particular library.

That is why PORBASE does not include many serials records coming from other libraries or when they come it is always necessary to revise them, sometimes even to modify them.

The situation when it comes to Portuguese serials is rather different. First because those are the ones that receive ISSN regularly, since 1983 and which can really by prepared for international exchange. Secondly as Biblioteca Nacional has the control of legal deposit, it is obvious that the identification of Portuguese serials, and the quality of the corresponding records is guaranteed.

At the moment we do not make any great differences between Portuguese serials records and foreign ones although we wish to acquire ISDS or UNIMARC records for foreign bibliography to avoid duplication on cataloguing.

We came a long way till nowadays — all this just happened in three years time! — and we managed to achieve to a good standardized situation for bibliographic records in Portugal. Our next step is therefore to bypass the national problems, and go into the international ones, aiming to start very soon a real cooperative international exchange.

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42-SER-3-F

Le format d'échange ISDS

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RESUME :

Le format d'échange ISDS (International Serials Data System) est le moyen privilégié de communiquer des données bibliographiques sur les publications en série à l'intérieur de l'ISDS, système international organisé en réseau et à divers utilisateurs extérieurs.

Son utilisation permet la mise à jour du Registre ISDS. La présence de l'ISSN et du titre-clé, font de celui-ci, le fichier de référence pour l'identification des périodiques, ainsi qu'un outil efficace pour gérer la cohérence d'une base de données sur les périodiques.

0 INTRODUCTION

Le format d'échange est intimement lié à l'histoire et au fonctionnement de l'ISDS, car son organisation en réseau, nécessitait la mise en place d'une information standardisée, aussi bien au niveau du contenu que du contenant, et cela était souligné dès la genèse du système.

Aujourd'hui le format d'échange est le principal vecteur de circulation des données bibliographiques gérées et diffusées par l'ISDS. C'est pourquoi une brève présentation du Système ISDS permet d'en saisir l'importance.

1 PRESENTATION DE L'ISDS

1.1 Objectifs

L'ISDS est un système international d'information dont l'objet est d'identifier les publications en série à l'aide d'un code, l'ISSN, permettant ainsi la diffusion et l'échange d'informations bibliographiques dans les meilleures conditions de sûreté, d'efficacité et d'économie.

1.2 Historique

A la suite des résolutions adoptées par la conférence générale de l'UNESCO en 1966 et 1968, le concept de "système international" chargé de constituer et de maintenir un Registre des titres de périodiques, était formalisé en 1970 sous la forme d'une étude préalable de faisabilité préparée par l'INSPEC pour le groupe de travail UNISIST/ICSU AB.

Celle-ci recommandait la création d'un système international de données sur les publications en série (ISDS : International Serials Data System) organisé en réseau.

Cette étude définissait un ensemble des données bibliographiques communes au réseau et proposait un format informatique normalisé, l'ensemble constituant le format d'échange ISDS.

En 1974, un accord définitif conclu entre l'UNESCO et le gouvernement de la République française officialisait le fonctionnement du CIEPS (Centre International d'Enregistrement des Publications en Série) à Paris.

1.3 Structures opérationnelles

C'est un réseau constitué

- d'une part du *Centre International* lequel :
  - — gère le fichier automatisé, appelé *Registre de l'ISDS*, en assurant sa cohérence, et sa mise à jour.
  - — diffuse les informations du fichier international aux centres nationaux ainsi qu'aux autres utilisateurs extérieurs au réseau.
  - — coordonne les activités du réseau touchant aux règles communes, normes, méthodes de travail, projets...
  - — assure une coordination étroite entre l'ISDS et de nombreuses organisations internationales telles que l'ISO ou l'IFLA.
  - — attribue des ISSN et crée des enregistrements pour les publications dont les pays n'ont pas de centres ISDS, ou pour les publications éditées par des organismes internationaux.
- d'autre part de 52 *Centres Nationaux* qui :
  - — assurent l'identification et le contrôle bibliographique des publications, l'enregistrement systématique de celles-ci afin d'alimenter, outre le *Registre*, leurs propres fichiers nationaux de notices ISDS.
  - — répondent à la demande courante des divers utilisateurs.
  - — coopèrent aux divers programmes nationaux ou internationaux utilisant les données bibliographiques ISDS.

1.4 l'ISSN : International Standard Serial Number

Ce Numéro International Normalisé pour les Publications en Série constitue d'une certaine façon la justification de l'ISDS, puisque ce code est exclusivement géré par le Centre International afin d'identifier les périodiques de façon univoque.

La norme ISO 3279 décrit sa structure et prescrit son impression sur chaque fascicule suivant des règles bien précises.

A toute attribution d'ISSN, correspond l'affectation simultanée d'un titre-clé, forme construite du titre. A un ISSN donné correspond un seul titre-clé (et donc un seul périodique) et inversement.

2 LES SPECIFICATIONS DU FORMAT D'ECHANGE ISDS

2.1 Les normes et les références

Le format d'échange ISDS est de type US-MARC(S) dont il utilise la structure et une partie des étiquettes.

Les spécifications mises en œuvre aux plans informatique et bibliographique sont alignées sur les normes et règles ISO, UNISIST, ISBD(S), ou éventuellement, en l'absence de norme, sur l'usage le plus courant dans le réseau.

A cet égard, l'ISDS participe activement à l'élaboration ou à la révision des normes touchant à son format. On peut citer entre autre la participation aux travaux sur les normes de translittération ISO de l'arabe, du cyrillique, du thaï, ou la collaboration aux travaux de l'ISBD(S) afin d'unifier le catalogage des notices.

2.2 La structure et le codage

Comme tous les formats MARC, la structure du format d'échange ISDS est conforme à l'une des implémentations possible de la norme ISO 2709-1981, et comprend :

— un label de notice (ou guide) de longueur fixe (24 car.) définissant les valeurs des divers paramètres nécessaires au traitement de la notice.

— un répertoire de longueur variable proportionnel au nombre de zones de données, chaque entrée (12 car.) comportant une étiquette identifiant la zone, sa longueur, et sa position dans l'enregistrement.

— deux zones de données de contrôle de longueur fixe comportant des codes divers et terminées par un séparateur de zone.

— des zones de données bibliographiques de longueurs variables, précédées de deux indicateurs et terminées par un séparateur de zone. Ces zones bibliographiques, contrairement aux zones de contrôle peuvent être subdivisées en sous zones.

Une notice ISDS peut comporter 24 étiquettes différentes

ISDS					UNIMARC				
TAG	INDICATOR 1	INDICATOR 2	SUBFIELD CODE	DEFINITION	TAG	INDICATOR 1	INDICATOR 2	SUBFIELD CODE	DEFINITION
				DATA ELEMENT					DATA ELEMENT
008	none	none		Date entered on file					Date entered on file
			&b	Publication status	100			$a	Type of publication date (8)
			&c	Start date	100			$a	Publication date 1 (9-12)
			&d	End date	100			$a	Publication date 2 (13-16)
			&e	Country of publication	102			$a	Country of publication
			&f	Frequency of publication	326			$a	Frequency
			&g	ISDS Centre code	802			$a	ISDS Centre Code
			&h	Type of publication code	110			$a	Type of serial designator (0)
			&i	Alphabet of original title	100			$a	Alphabet of original title (34-35)
			&j	Language of publication	101	0		$a	Language of text
						1			
						2			
022				International Standard Serial Number (ISSN)	011				
	#	#		Serial of international interest					
	1	#		Serial of purely national or local interest					
			&a	Current ISSN				$a	ISSN
			&z	Cancelled ISSN				$y	Cancelled ISSN
030	#	#		CODEN and other codes	040				
			&a	CODEN				$a	CODEN
			&b	Other codes					
080	#	#		Universal Decimal Classification number	675				Universal Decimal Classification number
			&a	UDC numbers from editions other than the reference edition				$a	UDC
			&b	UDC numbers from the standard English reference edition					
082	#	#		Dewey Decimal Classification number	676				Dewey Decimal Classification number
			&a	DDC numbers from editions other than the reference edition				$a	DDC
			&b	DDC numbers from the standard English reference edition					
210	#	#							
			&a	Abbreviated key title					Without correspondence in UNIMARC
			&b	Abbreviated qualifying information distinguishing key titles					
			&c	Abbreviated qualifying information distinguishing otherwise identical abbreviated key titles					

TAG	INDICATOR 1	INDICATOR 2	SUBFIELD CODE	DEFINITION	TAG	INDICATOR 1	INDICATOR 2	SUBFIELD CODE	DEFINITION
222				Key title	530				
	#	#							
		1-9		Number of characters to be ignored in filing					
			&a	Key title		0		$a	Key title
			&b	Added qualifying information		1		$b	Qualifier
245	#	#	&a	Title proper	200	0		$a	Title proper
		1-9	&n	Section, etc. designation		1		$h	Number of a section
			&u	Section, etc. title				$i	Name of a section
246				VARIANT TITLE(S)					VARIANT TITLE(S)
	#	0		Access to portions of titles and developed forms of key title (acronyms, numbers, etc.)	532	0 1	0 1 2 3	$a	Expanded title
	#	1		Parallel titles	510	0 1		$a	Parallel title
	#	3		Added title (other forms of title not specified)	517	0 1		$a	Other variant titles
	#	4		Cover title	512	0 1		$a	Cover title
			&a	Title					
260	#	#		IMPRINT	210				PUBLICATION, ETC.
			&a	Place of publication				$a	Place of publication
			&b	Publisher				$c	Name of publisher
			&c	Date of publication different from that in field 000				$d	Date of publication *
510	#	#		Coverage by abstracting and indexing publications	321				
			&t	Key title		0		$a	Indexes, abstracts note
			&x	ISSN				$x	ISSN
550	#	#		Name of issuing body as on the piece	200				
			&a	Name				$f	First statement of responsability
710				Name of issuing body or conference as established by national cataloguing practice	712				
	0	#	&a	Name of issuing body (other than a conference)		0	1 2	$a $b	Corporate name
	1	#	&a	Name of conference		1	2	$a $d $e $f	Meeting
759	2	#		Is other language edition of	451				
			&t	Key title			0	$a	Other edition in the same medium **
			&x	ISSN			1		
760	2	#		Is subseries of	410				
			&t	Key title			0	$a	Series
			&x	ISSN			1		

* In UNIMARC the date of publication, distribution, etc. must be the same as in field 100

** In UNIMARC there is no established difference between a serial which has other language edition or is other language edition

correspondant à 79 données élémentaires (sous-zones et codes appartenants aux zones de contrôle).

Le codage des caractères suit les normes ISO 646, 5426 et 2022. On utilise donc une table étendue sur 8 bits comportant 173 caractères différents dont 77 diacritiques ou caractères spéciaux.

2.3 Le contenu bibliographique

Une notice ISDS comporte

- d'une part des *éléments d'identification*
  - l'ISSN (étiquette 022)
  - le titre-clé (222)
  - le titre-clé abrégé (210)

éléments obligatoires dont l'ISDS est responsable et dont il assure la gestion.

- d'autre part des *éléments décrivant* la publication :
  - codes divers (008) tels que : codes pays, langue, périodicité, type de publication, alphabet du titre original
  - classification CDU (080) ou CDD (082)
  - titre propre (245)
  - variantes de titre (246)
  - lieu d'édition (260)
  - collectivités éditrices (550 et 710)
  - des liens avec d'autres publications tels que titres précédents (780), titres suivants (785), éditions en d'autre langue (759 et 769), suppléments (779 et 789), sous-collections (762). Il est à noter que ces zones de lien s expriment sous la forme du couple ISSN & titre-clé dans des zones identifiées par 9 étiquettes différentes.
- et des *éléments de gestion* de la notice :
  - date de création (008)
  - numéro de version et date de correction (012)

Les données sont enregistrées dans la langue originale, après translittération en alphabet latin (plus diacritiques) pour les scripts non latins.

Le catalogage est conforme aux normes en vigueur au niveau international, telles celles de l'ISBD(S).

2.4 La maintenance du format d'échange

Depuis 1973, le format a reçu des modifications touchant au contenu des enregistrements par l'adaptation des règles de catalogage à l'évolution des normes et des besoins. Ce peut être l'ajout de zones jugées nécessaires par le réseau, telle la zone titre-propre qui ne figurait pas à l'origine dans le format. Ce peut être l'adoption de nouvelles règles de translittération, comme cela a été le cas pour le cyrillique, entraînant en 1988, la révision de milliers de titres dans le fichier.

Tous les problèmes touchant au format, aussi bien au plan bibliographique qu'informatique sont débattus dans le cadre des réunions annuelles des Directeurs des Centres ISDS. Les projets de révision qui circulent dans les centres y sont débattus. Les propositions déjà soumises à l'ensemble du réseau y sont adoptées ou rejetées.

Une modification de format implique généralement un effort important, une telle décision doit considérer les besoins et les intérêts de tous les utilisateurs. En ce qui concerne l'aspect informatique, les changements doivent ménager une compatibilité avec l'existant, et intégrer une période transitoire acceptable par les membres du réseau et les utilisateurs externes.

Toute modification susceptible de toucher à la structure MARC ou à la création d'une nouvelle étiquette est soumise au bureau du MARC à Washington afin d'éviter toute incompatibilité ultérieure avec celui-ci.

2.5 La documentation du format d'échange

Le format d'échange est décrit de manière complète dans le *Manuel de l'ISDS* document de près de 250 pages. Après une première partie décrivant l'ISDS au plan organisationnel, la deuxième partie, traite de l'aspect fonctionnel qui nous concerne ici, et comprend entre autres :

- une description de l'enregistrement ou notice ISDS.
- les règles de catalogage utilisées avec les exemples afférents.
- la description du bordereau d'échange, qui constitue une implémentation manuelle du format d'échange.
- la description du format d'échange sur bande magnétique.
- la liste des diverses normes utilisées.

Le *Manuel* a été édité en 1983, et a fait l'objet, depuis, d'un certain nombre d'amendements distribués sous forme de feuillets mobiles. Les versions de référence sont disponibles en anglais et en français. Il existe également des traductions en diverses langues telles que l'espagnol, le chinois, le hongrois utilisées dans les Centres Nationaux.

Une nouvelle édition du *Manuel de l'ISDS*, entièrement révisée, est aujourd'hui à l'étude.

3 L'EXPLOITATION DU FORMAT D'ECHANGE ISDS

Le format d'échange constitue une composante de base du système ISDS, c'est non seulement le moyen privilégié de faire circuler les données ISDS à l'intérieur du réseau, afin de mettre à jour le Registre de l'ISDS, mais également de diffuser celles-ci vers les divers utilisateurs extérieurs.

3.1 Le Registre ISDS

Le Centre International a la responsabilité du fichier central, le *Registre de l'ISDS*, dont il assure la gestion en veillant particulièrement à sa cohérence.

Toute notice candidate à l'enregistrement dans le *Registre*, passe non seulement par des contrôles de conformité aux spécifications du format d'échange, mais doit surtout satisfaire aux vérifications de cohérence par rapport au contenu du *Registre*, afin d'éviter l'attribution d'ISSN différents à une même publication, ou l'enregistrement de titres-clés identiques.

Lorsque le titre de la notice contrôlée est identique à un titre-clé présent dans le *Registre* et identifiant une publication différente, celui-ci est pourvu d'un élément additionnel qui les différencie.

L'élément additionnel peut être la ville d'édition, ou la date de 1ère publication. Le titre ainsi construit est le titre-clé de la publication candidate à l'enregistrement.

Au 2 Mai 1989 le *Registre de l'ISDS* comprend 456 000 enregistrements, et sa croissance est d'environ 40 000 par an. Le nombre de notices corrigées une ou plusieurs fois par an est de 60 000.

3.2 Collecte et diffusion des données

Dans le cadre du réseau, afin de mettre à jour le *Registre*, les Centres Nationaux transmettent leurs notices au Centre International, à l'exclusion de toute autre forme ou autre support :

- soit sur bande magnétique ; 13 Centres nous font parvenir sur des bases mensuelles, trimestrielles, ou semestrielles des bandes représentant 80 000 enregistrements nouveaux ou de correction.
- soit sur bordereau, projection conforme du format d'échange sur support papier, représentant environ 24 000 items qui sont saisis pour traitement.

Il est à noter que les centres ayant les productions les plus importantes nous font parvenir leurs données sur bandes d'échange, et que ce nombre augmente chaque année.

Le Centre International transmet aux centres automatisés les bandes de mises à jour trimestrielles du *Registre ISDS*, d'environ 20 000 items.

Des utilisateurs extérieurs au réseau sont également abonnés au *Registre*, sous forme de bande d'échange ; ce sont soit des bibliothèques, soit des agences d'abonnement, soit des centres de documentation qui utilisent tout ou partie de la notice ISDS.

On peut citer, parmi d'autres, quelques projets basés sur l'exploitation de bandes en format d'échange ISDS :

- Le NOSP, Catalogue Collectif des pays Nordiques comportant plus de 111 000 enregistrements localisés parmi 600 bibliothèques.
- Le CCN, Catalogue Collectif National Français, avec 474 000 périodiques, dont 188 000 localisés parmi 2 750 bibliothèques.
- Le catalogue ACCIS ayant conduit à l'édition d'un répertoire des 4 000 périodiques édités par 38 agences de l'ONU.

Par ailleurs, le Centre International publie le *Registre de l'ISDS* sur support microfiche.

3.3 Nouveaux supports

Afin de permettre aux centres ne disposant pas de moyens informatiques importants de communiquer sur support magnétique, et donc d'éliminer à terme le traitement des bordereaux, l'ISDS a entrepris de tester les procédures d'échange des données sur disquettes 5 pouces 1/4 et 3 pouces 1/2, tout en conservant la structure logique du format d'échange actuel. L'intégration de ces supports dans l'exploitation courante se fera en 1990 et permettra un enregistrement plus rapide des données dans le *Registre*.

De même, la faisabilité d'un CD-ROM ISDS intégrant l'option

de récupération des notices directement en format d'échange est à l'étude. Ce nouveau produit ISDS donnera l'accès au *Registre* à partir d'un micro-ordinateur.

4 AUTOUR DU FORMAT D'ECHANGE

4.1 Compatibilité des formats d'échange CCF, ISDS et UNIMARC

On considère ici la compatibilité avec les formats CCF et UNIMARC uniquement du point de vue de l'organisation des données et de la conservation de leur intégrité.

La structure du format ISDS est plus proche de l'UNIMARC que du CCF ; ce dernier comporte des répertoires de 14 caractères (12 pour les 2 autres) incluant des éléments gérant les segments et les occurrences, données propres au CCF qui ne trouvent pas leur équivalent dans un enregistrement ISDS.

D'une part, ces deux formats comportent des données exprimant des relations entre zones telles que les étiquettes 080 à 085 dans le CCF, et la sous-zone générique 6 d'UNIMARC, relations que l'on ne peut pas restituer dans l'ISDS.

D'autre part, le nombre d'éléments bibliographiques touchant aux périodiques présents dans UNIMARC et dans CCF est plus important que dans le format ISDS.

Cette première approche permet donc de constater, que des notices bibliographiques traitant des périodiques et utilisant l'ensemble des potentialités des formats UNIMARC et CCF subiront un appauvrissement dû à la simplicité du format ISDS.

Une seconde approche est de considérer la notice ISDS comme notice source, et de vérifier qu'elle est bien convertible en notice cible CCF ou/et UNIMARC, puis de contrôler le résultat de la reconversion en format d'échange ISDS afin d'évaluer si l'information a été conservée intégralement ou non.

Se basant uniquement sur les spécifications des différents formats, on peut dégager ici les conclusions suivantes :

— tous les éléments de données ISDS ont leur équivalent dans UNIMARC, la conversion est réversible sans dégradation.

— les zones de liens sont plus spécifiques dans ISDS que dans CCF, la conversion ISDS vers CCF est possible, par contre la réversibilité dans certains cas est partielle et peut provoquer une certaine dégradation de l'identité de l'information d'origine. Par contre, si l'on considère uniquement les données ISDS strictement obligatoires, une telle notice est réversible.

4.2 Les utilisations spécifiques du format d'échange ISDS

Le format d'échange ISDS ne permet pas d'enchâsser une notice dans une autre comme dans les deux autres formats (se référer aux segments dans CCF), par contre les relations avec d'autres périodiques s'expriment sous forme d'ISSN, ce qui conduit à un mécanisme équivalent, beaucoup plus facile à exploiter.

Une formalisation de la notice ISDS permet de décomposer celle-ci en trois ensembles :

— un premier représenté par des données sous forme de codes (pays, langue, fréquence...)

— un second représenté par des données textuelles (titre propre, lieu d'édition, collectivités éditrices...)

— le troisième représenté par des ISSN, constitue fonctionnellement un système de pointeurs vers d'autres données.

Une utilisation des ISSN en tant que pointeurs permet d'améliorer de manière significative la gestion d'une base de données de périodiques, par l'économie d'espace qu'elle induit, et par la possibilité d'intégrer des fonctions d'auto-contrôle. Elle doit permettre d'aller plus loin encore par la génération automatique de liens symétriques à ceux existants, ou toute zone référencée par son ISSN.

Considéré sous cet angle, le format d'échange ISDS devient le vecteur privilégié de l'outil de gestion de base de données qu'est l'ISSN.

4.3 Echange et format d'échange ISDS

Le format d'échange ISDS peut être considéré comme un format simple, sa structure est linéaire, il ne possède pas de relations inter-zones, le nombre d'éléments de données est limité, et le domaine bien ciblé. Cette simplicité permet de repérer les problèmes liés uniquement au processus d'échange, problèmes souvent masqués par la complexité et la richesse des formats mis en œuvre.

Par exemple, les différents participants à l'échange sont le plus souvent également liés à leurs propres systèmes de catalogage et d'enregistrement. Le traitement interne de leurs données conduit à des processus d'élaboration et de maintenance différents. L'émetteur et le récepteur perçoivent l'évolution des données bibliographiques suivant leurs propres usages, en ignorant le plus souvent celles du correspondant.

Les formats d'échange comportent rarement les éléments de gestion de l'historique qui pourraient pallier à ces lacunes.

L'expérience du fonctionnement d'un réseau bien structuré, montre qu'une documentation classique, même de bonne qualité reste insuffisante.

— chacun des membres du réseau doit pouvoir accéder à une description du système d'information de son correspondant afin d'évaluer les problèmes potentiels d'exploitation.

— il serait intéressant d'établir une liste des éléments prenant en compte l'historique de la notice, à intégrer dans un format afin d'en améliorer l'exploitation dans ses aspects dynamiques sans altérer sa fonction d'échange.

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Serial Records, International Exchange and the Common Communication Format

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ABSTRACT

Unesco's Common Communication Format has been designed to permit mixing in a single computer database bibliographic records produced by libraries and by other kinds of information services. To help bridge the gap between the two kinds of agencies, the CCF is compatible with the ISBDs. It employs a technique for identifying "segments" within a record ; these are groups of fields which describe or identify a bibliographic entity. A number of these may be grouped together within a single record or separated into individual records by a computer program, to avoid repetetive input keying.

The CCF is in use in a growing number of countries in various kinds of information systems. It has been adopted or proposed as a standard for national bibliographic exchange (for example, in Yugoslavia and China) and in many information networks (such as BIEF, ALDOC, FIIR, PANGIS, and UNBIS). At a recent meeting, CCF users recommended that the format be extended to other kinds of bibliographic materials, and expanded to accommodate such non-bibliographic items as research projects, persons, institutions, statistical tables, and factual materials, both separately and in integrated databases. Unesco has recently produced further documentation for CCF users, a computer program to convert UNIMARC records to CCF, and a model implementation of the CCF on Micro CDS/ISIS.

INTRODUCTION

The creation of the first MARC records at the Library of Congress in the 1960's began the process of employing computers to bring control to the chaos of literature. Though I have heard nobody express surprise, we should all be amazed that this effort, undertaken by a small group of people at a time when very few librarians had experience with computers, has proved so successful and so enduring. Quickly thousands and then millions of MARC records were produced, and national bibliographic agencies around the world soon became engaged in devising and distributing their own national standards for machine records based on a MARC format.

But these formats, which are dependent on the acceptance of many other bibliographic standards, were developed by and for librarians ; they did not and do not completely fulfill the needs of other kinds of information specialists. Indexing and abstracting agencies, though they might want access to machine records produced by libraries, announced that they were unable or unwilling to follow library standards in order to create their own MARC records. It seemed that many smaller bibliographic agencies required a format capable of hospitality both to MARC-formatted records created by libraries and far simpler records created by their own staff to meet their own needs. In developing countries, where limitations of money and trained staff made it impossible to support records in different formats from different kinds of bibliographic agencies, information systems were quick to point out their need for a format which would both follow international standards and also handle their own uncomplicated records.

These problems were first publicly discussed at an International Symposium on Bibliographic Exchange Formats, held in Sicily in 1978. There, while librarians expressed certainty that any agency could make use of a MARC format for its machine records, others thought differently. One speaker announced, "Efficient exchange of bibliographic information demands compatibility, which implies standardization. But perhaps we have standardized too much already, making our systems less effective than they might be."[1] Another speaker stated the problem differently. Library cataloguing rules, she said, "are not used in abstracting services and they are of no interest to those in the field of information and documentation." A single standard format for machine records, she believed, "will only be effective so long as A & I services do not have to make additional effort using rules which bring them no benefit."[2]

The second speaker states the problem clearly, and is well supported by others in the field. Despite the first speaker's statement, surely the problem was not too much standardization ; rather, it was the belief that the new standards were unsuitable. Like any co-operative effort, standardization is an admirable goal only while it helps us to do our job. When it seems to hinder us instead, or when we have to change our methods to conform to standards imposed by others, we quickly revise our opinion. In this case, non-libarians were told that a standard already existed, and they believed that to reap the benefits they would have to model their methods on those of libraries. This they refused to do.

DEVELOPMENT OF THE CCF

As a result of this conflict between the two information communities, Unesco established an Ad-Hoc Group on the Establishment of a Common Communication Format. The task of the Group was to devise, if it was possible, a format that would allow a computer program to process a single file of records created by various kinds of bibliographic agencies. It is not an overstatement to say that the task was a difficult one. The Group worked hard for over a decade, and it still meets and corresponds regularly. But it didn't take long for certain matters to be agreed on, either as matters of principle or convenience :

— The new format would conform to ISO 2709, the international standard governing the structure of bibliographic formats, and would also follow other established international formats that might be of assistance.

— The new format would be as compatible as possible with the International Standard Bibliographic Descriptions.

— The new format would not include or prescribe rules for description, in order to permit organizations to formulate their own methods of bibliographic control.

— The new format would consist of a very small number of required data elements which could accommodate brief records identifying an item, plus a number of optional elements to contain full descriptions.

— The new format would contain rules for adding additional local (that is, non-standard) data elements that might be considered necessary by individual organizations.

In 1984 the first edition of *CCF : The Common Communication Format* was published by Unesco,[3] in English and French. It included data elements to handle only monograph and serial text items, a limitation which remains true of the modified and expanded second edition, which was published in 1988.[4] Because of its adherence to ISO 2709-1981, its structure is the same as that of the MARC formats, the ISDS format, and other international exchange formats. In fact, a person familiar with any of these formats would find only one aspect of the CCF worthy of special interest, and that is its method of housing multiple bibliographic entities in a single record and of expressing relationships among them. These features of the CCF are central to it, quite different from the practices of other formats, and worth further comment.

HANDLING MULTIPLE ENTITIES

While all bibliographic agencies create records that describe multiple entities, they attach varying degrees of importance to them and handle them in very different ways. When more than one bibliographic entity is described in a single record it is always because they are related to one another. The relationship may be described as either vertical or horizontal. A vertical relationship exists between a part of a serial and the serial in which it appears, for example, and between a monograph and the series to which it belongs. A horizontal relationship exists between a serial title and its former and subsequent titles.

In libraries it is most common for a bibliographic record to be devoted virtually entirely to a single, "primary" entity ; secondary entities which may appear in the record are usually treated minimally. For example, if the primary entity in the record is a conference proceedings, the contributions to the proceedings will be described, if at all, only briefly. Similarly, if a bibliographic record is created for part of a series or serial, the parent entity will be described in only as much detail as is necessary to properly identify it. In many indexing and abstracting agencies, however, these multi-entity records are central to the work of the agency and are treated far more thoroughly. An agency which indexes the contents of current journals must be able to print or display full bibliographic descriptions of a journal issue and all of its component parts with a minimum of input keying. According to the design of its computer software, the agency may need to process and store these as one record or as several.

The Ad-Hoc Group believed it was important for the CCF to allow an agency to describe these multiple entities in sub-records that could be housed either in one record or in many, could automatically be converted from one record to many and vice versa, and would explicitly record the relationships among these entities regardless of whether they were housed together or separately. In this effort they were greatly assisted by representatives from the Library of Congress and the National Library of Canada, who provided assistance in the formulation of CCF's method of using sub-records, which are known as record segments.

In order to house the description of more than one bibliographic item in a record, a fourth digit is added to the tag of each field, indicating the number of the segment to which it belongs. The use of this technique reduces the number of kinds of fields described in the format, since a field such as title can be used for the title of every entity within the record. If the record contains a series, a conference proceedings within the series, and 6 contributions to the proceedings, the title field, signified by its three-digit tag, will be used eight times in the record. The fourth digit of the tag will indicate which segment each title belongs to, and of course each segment may also contain any other fields required for identification or complete description. The CCF also contains special fields which are used to show the relationship between segments, no matter whether the segments are combined in a single record or split into separate records. These two format features — the segment indicator and the relationship code — provide powerful tools for building records that may be either very simple or quite complex. Together they advance the state of the art of bibliographic formats.

USE OF THE FORMAT

The CCF began to be applied in information systems very soon after the publication of the first edition. At the Dag

Hammarskjold Library of the United Nations in New York, the CCF was used as the basis for a new system[5] which for the first time integrates document descriptions for external publications and United Nations documents and publications. Previously these had been separate databases. Currently ten different databases are handled by this system. At the Office for Official Publications of the European Communities in Luxembourg the CCF was used as the basis for a format called Formex.[6] This format is unusual in that it permits a computer record to consist of both a bibliographic record and the full text of the document itself through an application of SGML, a method of marking full text for reproduction. SGML, now an ISO standard, will no doubt see increasing use as full-text databases grow.

Following soon after these early implementations, use of the CCF spread to information systems in many countries, including Yugoslavia[7], France, Mexico, and England. In Canada, the BIEF (Banque internationale d'information sur les Etats francophones) has used the CCF to distribute more than 400,000 French-language records to 200 libraries in francophone countries around the world.

In a number of cases, before the CCF could be used it first had to be translated (often with Unesco assistance) since Unesco publishes the document only in English and in French. At COLCIENCIAS, a government-supported agency in Colombia, the CCF was translated into Spanish to permit the inter-agency exchange of information between independent information centres around the country.[8] These widespread and often remote centres, which use different microcomputer-based database management systems to handle their records, exchange files on floppy disks. In Beijing, at the Institute for Scientific and Technical Information of China (ISTIC), the CCF was translated into Chinese for use as a national standard exchange format in that country. In Brasilia the CCF was translated into Portuguese at the Brazilian Institute of Scientific and Technological Information (IBICT) in the hope of bringing records from libraries and other information-handling groups. In Tunisia, the CCF was translated into Arabic to provide an exchange format for ALDOC, the Arab League Information and Documentation Centre. There are, of course, other CCF users ; this is meant to offer only a sample — not a comprehensive list.

DOCUMENTATION AND DEVELOPMENT

In the course of using the CCF and adapting it to local conditions and practices, users of the CCF have made a number of suggestions and proposals for modification to the format. Beginning soon after the publication of the first edition of the format, Unesco's Ad-Hoc Group began the process of refining the format, resulting in publication of the second edition. At the same time, work started on documentation that would assist users to better understand the CCF and to implement it. In addition to a number of journal articles that have been published explaining the nature and purpose of the format[9], Unesco has produced the *Implementation Notes for CCF : The Common Communication Format*[10], which offers a detailed explanation of the application of various features of the format and the use of the various data elements. Unesco also makes available a conversion table showing how UNIMARC records can be converted to CCF records, and a program for IBM-compatible microcomputers which can carry out conversion from any ISO-2709-based format to any other.

This past April marked the first meeting of CCF users. That meeting was held to promote the useful exchange of information among CCF users, and to determine what recommendations the users might make for refinement and expansion of the format. As noted above, the format has consisted only of data elements for monograph and serial text items. This may be contrasted with the UNIMARC format, which includes elements for the description of the widest possible array of kinds of information-storing media. The recommendations of the users were clear. First, they wanted a standard method to handle CCF records with Micro CDS/ISIS, the microcomputer database management system distributed around the world by Unesco. Unesco has already started work on a model implementation of the CCF using Micro CDS/ISIS. Second, the users suggested that the CCF should expand its data elements to permit a wider range of types of materials to be described. The Ad-Hoc Group is meeting immediately after this IFLA Conference to begin this work. Third, there was a strong consensus that the format should incorporate a method for describing non-bibliographic materials, such as research projects, lists of consultants and experts, programmes, institutions, statistical tables, and so on. Several projects, described at the meeting, make it apparent that wider applications such as these have already begun.

Clearly the CCF is a young format which is still being developed. It is increasingly being accepted as a method of mixing records from various kinds of information agencies, most of which deal with serials in whole or in part. The changes occurring in the CCF suggest that its users are still finding new applications for it. Clearly this is a healthy and growing system whose future promises to be a bright one.

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56-RARE-2-G

Forschung in einer Zeit der Sparpolitik und des Bibliothekswandels

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ZUSAMMENFASSUNG

Die Sparpolitik der letzten Zeit hat vom Standpunkt des Benutzers direkte und indirekte Auswirkungen. Direkte Auswirkungen zeigen sich in der Stagnation des Ausbaus von Beständen, besonders im Hinblick auf neuerdings viel benutzte, aber in der fruhen Sammeltatigkeit vernachlässigte nicht-kanonische Materialien. Indirekte Auswirkungen liegen im Übergang zu einem die einzelne Bibliothek schwächendem Systemdenken und in der weit gehenden Aufgabe des Kuratorialprinzips durch das Managerprinzip in der Betreuung von Beständen. Diese sind gravierender als die direkten.

Die Forschungsbedingungen im Hinblick auf historische Buchbestände haben sich in den letzten zehn oder funfzehn Jahren erheblich verändert. Diese Veränderungen hängen mit

der Stagnation oder den Kürzungen zusammen, die bei Bibliotheksetats fast überall aufgetreten sind und die besonders in den Ländern mit hoher Forschungsintensität spürbar werden. Es gibt direkte Auswirkungen und indirekte Auswirkungen, und möglicherweise werden die indirekten Auswirkungen die Forschung auf die Dauer empfindlicher affizieren als die direkten.

Die direkten Auswirkungen liegen auf der Hand. Weniger Geld bedeutet reduzierte Kaufmöglichkeiten. Dies mag für den ersten Blick bei historischen Beständen als nicht besonders gravierend erscheinen, weniger gravierend zumindest als bei modernen Beständen, die aus der laufenden Produktion ergänzt werden müssen. Auch lässt sich einwenden, dass historische Bestände entsprechender Grössenordnung in der Regel in den grossen Forschungsbibliotheken bereits vorhanden sind. Doch die Bestände selbst der grössten Bibliotheken weisen Lücken auf. Bei einer guten Etatlage kann ihre Schliessung sukzessive und auch systematisch erfolgen, bei schlechter Etatlage werden immer nur unbefriedigende Einzelkäufe möglich sein.

Die Forschungsentwicklung der letzten Jahrzehnte hat deutlich gemacht, dass die Lücken vielfach grösser sind als bisher angenommen wurde. Das gilt vor allem für Länder — wie etwa die Bundesrepublik Deutschland — wo nicht, wie in manchen anderen Ländern, kontinuierliche Neuanschaffungen und eine ebenso kontinuierliche Ergänzung der historischen Bestände erfolgten. Hier machen sich die eingeschränkten Kaufmöglichkeiten der Bibliotheken besonders nachteilig bemerkbar.

Es kommt hinzu, dass man in der geisteswissenschaftlichen und auch in der historisch orientieren sozialwissenschaftlichen Forschung seit einiger Zeit verbreitet auf Materialien zurückgreift, die früher überhaupt nicht oder nicht in ausreichendem Masse gesammelt worden sind. Es handelt sich dabei um Materialien, die ausserhalb eines Kernbereichs oder eines Kanons lagen, wie er etwa im neunzehnten Jahrhundert als Grundlage für die Sammeltätigkeit der Bibliotheken generell akzeptiert wurde. Auch dort, wo intensiv Literatur jenseits des Kanons gesammelt wurde (wie etwa unter Panizzi in der Bibliothek des British Museum), bestehen solche Lücken, weil es allenthalben schwierig ist, die künftige Bedeutung von nichtkanonischer Literatur zum Zeitpunkt ihres Erscheinens oder auch bei einem späteren antiquarischen Erwerb richtig einzuschätzen.

Eine Aufzählung dieser Materialien oder Literaturkategorien ist hier entbehrlich. Doch sollte deutlich zum Ausdruck kommen, dass jede Lücke in dem Kontinuum von Literatur, auf das die Forschung fast in jedem Falle angewiesen ist, sich nicht nur auf die Fertigstellung bereits in Arbeit befindlicher Forschungsprojekte, sondern auch auf die Konzeption neuer Forschungsprojekte auswirkt — möglicherweise solcher, deren Ausführung eben wegen der Heranziehung nicht — kanonischer Materialien von grossem Interesse wäre.

Die indirekten Auswirkungen sind verschiedener Art, und ich möchte hier nur auf einige besonders wichtige Punkte hinweisen. Jede dieser Gegebenheiten ist in ihrer Art gravierend, und überdies ist damit zu rechnen, dass sich die negativen Wirkungen kumulieren. Viele Massnahmen werden von den Bibliotheken in der Annahme ergriffen, dass sich dadurch ihre Leistungsfähigkeit verbessern würde, und vielfach sind solche Massnahmen der einzige Ausweg, der ihnen bleibt. Für den Benutzer wirken sie sich indessen weit weniger günstig aus als sie gedacht sind, und in nicht wenigen Fällen bewirken sie genau das Gegenteil dessen, was beabsichtigt ist.

Als Folge der Etatkürzungen hat sich im Bibliothekswesen insgesamt eine neue Konzeption ausgebildet, die sich Schritt um Schritt zu einem in seinen Grundzügen nicht mehr veränderbaren Dogma der Administration verfestigt hat. Für diese administrative Denkweise steht nicht mehr die einzelne Bibliothek im Vordergrund, sondern ein nationales und neuerdings ein internationales Bibliothekssystem. Während früher die Bibliothek als Einheit galt mit der Konsequenz, dass jede Bibliothek für sich genommen so autark wie möglich sein sollte, verlagert sich nun die Konzeption der Autarkie auf das grössere "System". Das heisst: es wird nicht mehr als notwendig angesehen, dass die einzelne Bibliothek möglichst vollständige Bestände aufweist. Es wird als ausreichend betrachtet, wenn das grössere "System" in seinen Beständen so umfassend ist, dass der Literaturbedarf im Rahmen dieses Systems gedeckt werden kann.

Dies bedeutet, ohne Umschweife gesagt, dass die Leistungsfähigkeit der einzelnen Bibliothek eingeschränkt wird. Unter den Prämissen der Vollständigkeit des Systems können Neuanschaffungen unterbleiben, wenn ein Titel an einer anderen Stelle des Systems vorhanden ist. Das gilt besonders in zwei Fällen: einmal beim teueren Einzelwerk (und dieser Fall ist gerade im historischen Bereich nicht selten) und bei den sogenannten "research collections", umfassenden Sammlungen von historischem Quellenmaterial in Mikroform, deren Anschaffung in der Regel erhebliche Mittel bindet.

Absprachen zwischen einzelnen Bibliotheken waren — besonders in den dezentralen Bibliothekssystemen — schon in der Vergangenheit üblich, und sie hatten dort bereits negative Folgen für die Forschung. Der Benutzer konnte nie sicher sein, an welcher Stelle des Systems sich ein von ihm gesuchtes Werk befand, und häufig war der Aufwand, der für die Einsicht in ein solches Werk nötig war, exorbitant. Das gilt für moderne Literatur, und es gilt in erhöhtem Masse für historische Bestände, die dem Benutzer in der Regel nur unter erheblichen Beschränkungen zugänglich gemacht werden können.

Die Ausdehnung der "Philosophie des Systems" wird auch und vor allem in Ländern mit zentralen Bibliothekssystemen die Forschung erschweren. Zusätzliche Hindernisse werden auftreten, wenn das Dogma durchgängig international akzeptiert wird, und, um nur das nächstliegende Beispiel zu nennen, auf den Gesamtbereich der Europäischen Gemeinschaft ausgedehnt wird. Hier ist das Konzept der "Vernetzung" von Bibliotheken bereits so weit entwickelt, dass auf die Dauer das "System" die Einheit sein wird, auf die alle bibliothekspolitischen Entscheidungen abgestellt werden.

Bisher waren die grossen Bibliotheken, vor allem die Nationalbibliotheken, die natürlichen Zentren für die Forschung. Sie waren dies vor allem deswegen, weil sie historische Bestände in einer unvergleichlichen Dichte aufweisen und damit dem Forscher die Möglichkeit bieten, das von ihm gewünschte Material an Ort und Stelle einzusehen. In einem "System" können diese Bibliotheken nicht mehr die gleiche Rolle spielen. Sie mögen Schwerpunkte innerhalb des Systems bleiben, aber ihre Effizienz wird notwendig und unvermeidlich reduziert. Sie verlieren ihre absolute oder auch nur relative Autarkie und sind im Extremfall nur so leistungsfähig, wie es ihnen durch andere Komponenten des Systems, auf deren Mitwirkung sie angewiesen sind, ermöglicht wird.

Für den Benutzer gibt es, wenn das System hinreichend weit entwickelt ist, keinen selbstverständlichen Ort des Zugriffs mehr. Er muss seine Materialien von verschiedenen Stellen des Systems zusammentragen, und das bedeutet einen erhöhten Aufwand, der für die Beschaffung erbracht werden muss. Bisher ist die Frage nicht gestellt worden, ob die Einsparungen, die Konzeption des Systems theoretisch mit sich bringt, nicht an anderer Stelle oder in einem anderen Zusammenhang wieder aufgebracht werden müssen. Überhaupt scheinen die Prämissen der System-Konzeption nur in ungeprüften Annahmen zu bestehen. Ausgangspunkt der System-Konzeption ist immer die moderne Literatur, in der Regel die Sekundärliteratur gewesen, die dem Benutzer über ein Leihsystem am Ort der Benutzung zugänglich gemacht wird.

Überträgt man die Konzeption, wie es jetzt allgemein üblich wird, auf historische Bestände, ergibt sich ein noch weit ungünstigeres Bild. Historische Bestände im Original und in Surrogatform sind in der Regel aus konservatorischen Gründen ortsfest und werden nicht über Leihsysteme zugänglich gemacht. Der Besucher muss also die Bestände am Ort der Aufbewahrung aufsuchen. Innerhalb eines Systems bedeutet dies notwendig: an verschiedenen Orten. Es ist bereits jetzt abzusehen, dass sich das System, das zur Kosten-einsparung eingeführt wurde, für die Benutzung nicht als kostengünstig erweisen wird.

Es kommt hinzu, dass die Bereitstellung von Nachweisinstrumenten innerhalb eines Systems überaus kostenintensiv ist. Nachweisinstrumente bestehen bereits jetzt vielfach in maschinenlesbaren Katalogen, und in Zukunft werden sie ausschliesslich, sofern sie neu angelegt werden, als maschinenlesbare Kataloge verfügbar sein. Für die Einführung solcher maschinenlesbaren Kataloge gibt es gute Gründe, und diese sollen hier nicht abgestritten werden. (Der Nutzen retrospektiver maschinenlesbarer Bibliographien ist noch ungleich grösser, und auch gegen sie wird hier kein prinzipieller Einwand erhoben.)

Indessen bestehen Unterschiede zwischen maschinenlesbaren Katalogen für die Bestände einzelner Bibliotheken und grossen Verbundkatalogen, in denen die Bestände mehrerer oder gar vieler Bibliotheken vereinigt sind. Diese erfordern einen hohen technischen und einen noch grösseren finanziellen Aufwand. Legt man solche Kataloge nicht nur, wie es

allenthalben geschieht, für moderne, verleihbare Literatur an, sondern auch, wie die Planungen für die Systeme vorsehen, für die historischen Bestände and, so entstehen teuere Nachweisinstrumente für Bestände, die zwar innerhalb des Systems vorhanden, aber aus den bekannten konservatorischen Gründen nicht ohne weiteres verfügbar sind. Das Ziel des Systems, nämlich die Vergrösserung des Literaturreservoirs unter Einsparung von Kosten, wird also nur bedingt erreicht. Der Benutzer hat — wenn er in seinen Arbeiten auf einen grossen Bestand angewiesen ist — in aller Wahrscheinlichkeit nur geringe Vorteile, mit ziemlicher Gewissheit aber erhebliche Nachteile.

Die Frage stellt sich, ob es gerade in Zeiten knapper Mittel und einer unumgänglichen Sparpolitik nicht günstiger wäre, statt aufwendiger maschinenlesbarer Verbundkataloge die Bestände einiger ausgewählter Forschungsbibliotheken gezielt aufzustocken und den potentiellen Aufwand für die Verbundkatalogisierung in die Vergrösserung von Beständen zu investieren, die sowieso nur an einer bestimmten Stelle des Systems benutzt werden können. Dies wäre eine Frage, die sich aus der Perspektive des Benutzers zwingend ergibt. Zumindest müsste sie als Alternative durchgerechnet werden, ehe die Entscheidung für das System und den Verbundkatalog fällt. Doch soweit mir bekannt ist, sind nirgendwo derartige Überlegungen angestellt worden. Die Entscheidungen scheinen aus einer Ideologie der potentiellen Gleichberechtigung aller Benutzer gefällt worden zu sein.

Die Entscheidung für das System ist im Hinblick auf historische Bestände nur unter technischen Bedingungen sinnvoll, die zur Zeit und wahrscheinlich auch für die nächste Zukunft nicht gegeben sind. Diese technischen Bedingungen bestehen in der leichten Reproduzierbarkeit einzelner Teile von Büchern oder ganzer Bücher. Unter der — bisher nur als Absicht und Ankündigung bestehenden — Voraussetzung, dass innerhalb grosser Systeme historische Bestände umfassend nachgewiesen werden können, wird sich wahrscheinlich eine paradoxe Situation ergeben. Der Benutzer wird schnell erfahren können, wo sich ein von ihm gewünschtes Buch befindet, doch die Benutzung ist so erschwert, dass jeder Vorteil beim Nachweis wieder annulliert wird.

Es gibt bislang keine schnellen und zugleich unter konservatorischen Gesichtspunkten befriedigenden Kopierverfahren. Die schonende Verfilmung von Büchern ist möglich, aber durch die schlechte Personalausstattung der photographischen Abteilungen der Bibliotheken langwierig und mit zahlreichen administrativen Umständen verbunden, vor allem in jenem internationalen Kontext, der für die Systeme der Zukunft seitens der Bibliotheksplaner angestrebt wird. Die Herstellung von Papierkopien nach Mikroformen lässt ebenfalls zu wünschen übrig, selbst wenn sie im Prinzip möglich ist. Auch wenn seitens der Bibliotheken Gegenteiliges behauptet wird: für den Benutzer ist die gesamte technische Infrastruktur für die Reproduktion schonungsbedürftiger historischer Literatur völlig unzureichend. Die Situation ist sogar absurd: auf der einen Seite werden riesige Summen in komplexe Verbundkataloge investiert, auf der anderen wird der Benutzer zu einem mittelalterlichen Kopisten reduziert. Die Frage stellt sich, wie "benutzerfreundlich" die Bibliotheken unter den Prämissen der Sparpolitik werden.

Ein letzter Punkt. Die voraussichtlich bedeutsamste Veränderung wird sich nicht durch das langsamere und gar zum Stillstand kommende Wachstum der historischen Bestände ergeben. Immerhin ist vielerorts ein beachtlicher Grundstock vorhanden, und solche Sammlungen werden erhalten bleiben. Aber sie werden schwieriger zu benutzen sein, und das nicht nur aus technischen Gründen. Als Folge der Sparpolitik zeichnet sich überall die Tendenz ab, auch die Betreuung der vorhandenen Bestände zu verändern. Das bedeutet, dass sich auf der personellen Seite ein Wandel der Bibliotheken abzeichnet, der weitreichende Folgen haben dürfte.

Bislang wurden historische Bestände in Bibliotheken nach dem Kuratorialprinzip betreut. Der zuständige Bibliothekar ist ein Fachmann, der sowohl Kenntnisse auf dem Gebiete des alten Buches wie auch Kenntnisse auf dem entsprechenden Fachgebiet besitzt. Er ist, mit anderen Worten, ein "wissenschaftlicher" Bibliothekar, der in der Mehrzahl der Fälle auch als "research librarian" eigene Forschungen betreibt. Seine Tätigkeit erschöpft sich also nicht in der blossen Verwaltung der ihm anvertrauten Bestände. Er arbeitet mit den Beständen und fördert auf eine nur ihm mögliche Weise die allgemeine Kenntnis dieser Bestände. Dies kommt nicht zuletzt in besonders hochwertigen Katalogen zum Ausdruck. Der Gewinn, den die Wissenschaft aus dieser kuratorialen Tätigkeit zieht, ist ausserordentlich und in vielen Fällen kaum zu überschätzen.

In Zukunft soll der Kurator ganz oder weitgehend durch den Manager ersetzt werden. In welcher Form dies geschieht, bleibt abzuwarten, doch zeigen die Entwicklungen im Bereich der Museen bereits deutlich, dass nicht nur an eine neue Akzentuierung von Tätigkeiten bei gleichbleibendem Personal gedacht ist, sondern — in geeigneter Form — an einen Personalwechsel. In den Bibliotheken würde dies die schrittweise Ersetzung des "research librarian" durch einen Typ von Administrator bedeuten, der nicht mehr im alten Sinne als Fachmann gelten kann, sondern nur noch als Verwalter der Bestände zu betrachten ist.

Dies hätte zum einem die Konsequenz, dass die für die Beschaffung und Ergänzung historischer Bestände zur Verfügung stehenden finanziellen Mittel in aller Wahrscheinlichkeit nicht mehr optimal eingesetzt werden — einfach aus Mangel an der bisher als selbstverständlich geltenden Sachkenntnis. Zum anderen, und dies ist aus der Benutzerperspektive zu sagen, würde dem Wissenschaftler die Unterstützung fehlen, die ihm bisher bei seiner Arbeit mit historischen Buchbeständen zuteil geworden ist. Der "wissenschaftliche" Bibliothekar ist für den Forscher ein Partner, dessen Fehlen sich durchgängig negativ auswirken muss. Denn vielfach hängt die Benutzung historischer Bestände auf einem hohen Niveau von den Kenntnissen ab, die der Bibliothekar, und nur er, zur Verfügung stellen kann. Mit anderen Worten: Die Abkehr von Kuratorial-Prinzip wird das Gegenteil von dem bewirken, was sie bewirken soll. Die Bestände mögen zwar vom Standpunkt der Rationalisierung der Bibliothek effizienter "verwaltet" werden — aber auch das scheint mir fraglich. Vom Standpunkt des Benutzers aus werden sie allemal schlechter betreut; das heisst: sie erbringen nicht den wissenschaftlichen Nutzen, den sie erbringen konnten und letztlich erbringen sollten, wenn die Bibliothek eine Einrichtung für den Benutzer sein soll.

55-RARE-1-E

Rare Book Collections under Constraint, a librarian's point of view

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ABSTRACT

In times of financial constraint, rare book collections vie with libraries of current research material for their share of the too limited resources. Competition is most apparent in the areas of acquisition, record creation, conservation, and research and public services.

The arguments in favour of acquiring current rather than antiquarian material appear to carry most weight. The acquisition of antiquarian material has to depend more and more on the generosity of private or institutional benefactors.

National and international cooperation is necessary, not only to maintain and extend the collections of rare and valuable material, but to make them available and to preserve them for future generations.

Research suffers from underfunding, from lack of manpower and from lack of sympathy. Rare book librarians are having to spend an increasing amount of time on justifying the existence of their collections, soliciting benefactions, lobbying governments, and persuading potential grant-givers that what they collect and preserve is of vital importance for the understanding, not only of the past, but of the present and the future.

The relationship between a rare books library and a general research library ought to be a happy one. Both aim to serve scholarship, now and for the future, and each supplements the other in practical terms. Where the rare book collections are part of the general research library this mutual support should work particularly well, especially in times of plenty. When less money is available, when financial constraint forces a choice between current research material and historical material, between the public- and private-sector users and the smaller

scholarly research community, this potentially happy partnership turns into rivalry and a tug-of-war in which, all too frequently, the rare books side is the loser.

This competition for resources is apparent in a number of library activities, the most obvious of which are : acquisition, record creation, and research and public service. It also affects conservation.

ACQUISITION

Over the past six years funds for acquiring books and manuscripts have been getting smaller and smaller. During this period the university libraries in Great Britain have cut their expenditure on periodicals by between 4 % and 13 % and their expenditure on monographs by between 19 % and 27 %. Current academic book and periodical prices have risen by respectively 31.2 % and 72 %, while the price rises for scientific journals have been particularly steep. Foreign book prices (especially those from Western Europe and the USA) have risen by comparable amounts and continue to rise. At the same time, more and more books are being published, and consequently the percentage of the total published output of research material that can be acquired by academic and national libraries is shrinking alarmingly. As this is the situation for current material, what remains for the acquisition of rare books, manuscripts and archives ?

The university libraries are under constant pressure to provide research literature for their undergraduate students and those that manage to keep up their purchasing of rare books do so either by diverting other funds, or by dipping into endowment funds, or by raising money elsewhere. The British Library, which in its role as a national library is obliged to provide for the future, as well as for the present, constituting a national archive, as well as building an international research collection, finds itself torn between priorities. On the one hand, its users expect to find all current research material in those subjects the Library professes to collect, and these claims have become more urgent as the other academic libraries have been forced to cut their acquisitions programmes. On the other hand, its rare books and manuscript collections are among the best and most comprehensive in the world and there exists among its users the strong expectation that this excellence is maintained. The argument that if current material is not acquired now, it may never be acquired, or, if it is still available at a future date, it will undoubtedly be more expensive, is one that supports the expenditure of the bulk of acquisitions funds on newly published books and journals. At the same time, first rate rare material is becoming scarcer and the chances of such material coming onto the market again are becoming slimmer, and consequently the argument to buy while the material is still available can also be quite persuasive. Whether it is true that the stream of first class rare and valuable material is indeed drying up is arguable. It is, however, undoubtedly the case that this type of material is becoming more and more expensive. Moreoever, luxuriously illuminated manuscripts, splendidly-illustrated books, exceptionally early maps, important autograph music scores, lavishly decorated or very early bookbindings, have all become objects of art and are competing in price with paintings, silver, ceramics and sculptures. They have in effect been removed out of the range of any research library that is dependent on government money for its acquisitions. The acquisition of such grand, "heritage" items has to be largely supported by outside bodies (such as the National Heritage Memorial Fund, the Pilgrim Trust or the Friends of the National Libraries) or, on occasion, by the generosity of private donors. Libraries who want to strengthen their already remarkable antiquarian collections, whether by actively soliciting donations or by competing on the open market, will have to spend time and energy pursuing sponsors and improving public relations. North American rare books librarians have been treading this path for some time and — helped by favourable tax laws — very successfully. British librarians are changing their traditional attitude and are following suit, without, however, the support provided by tax relief for potential benefactors.

Another way to strengthen rare book and manuscript collections on a national scale is by pooling the national resources and sharing collecting responsibility. To some extent this is practice among the British national libraries in that they don't compete with each other in the sale rooms — if they can help it — and in that they give way to each other concerning items that, because of their subject or provenance, are of obvious importance to one specific collection. Much more can and must be done to increase cooperation between rare books libraries and rare books and manuscript collections, but in order to achieve a properly co-ordinated national acquisitions policy for rare and valuable material, the existing collections have to be well documented.

RECORD CREATION

Financial pressure not only means less money for buying books and manuscripts, it also means less money for staff, and consequently for those activities that are labour intensive. Over the past six years, academic staff numbers in British university libraries have fallen by between 12 % and 19 %, while clerical staff has been cut by between 9 % and 16 %. Over the same period, the staff in the British Library (H&SS) has been reduced by 18.3 % and further reductions are considered necessary. Meanwhile, the number of students has increased and so has the number of library users. More demand is made on the British Library's loan collections, the number of books and serials acquired by legal deposit has risen by 14 1/2 %, even though the number of purchased volumes has fallen ; in short, more work has to be done by fewer people. Pressure to reduce cataloguing backlogs and pressure to make new acquisitions available as soon as possible has led — in the British Library — to a lowering of standards, both in the individual catalogue entries and in the editorial control of the general catalogue. It can be argued that for newly published material brief and simple catalogue entries are sufficient to enable the user to find what he or she wants. A lack of subject access, however, makes certain areas of the collections inaccessible to all but those who know exactly what they are looking for, while insufficient editorial control makes greater demands on the ingenuity and perseverance of the catalogue user. Brief and simple catalogue entries for antiquarian and other rare material are virtually useless. The IFLA Section on Cataloguing (in the Division of Bibliographic Control) has done much to develop and review the International Standard Bibliographic Description for Antiquarian material (ISBD(A)). The British Library has accepted this standard for its antiquarian cataloguing, while at the same time pursuing the tradition of compiling and publishing special catalogues for manuscripts, maps, music, archives and early-printed material. These catalogues of specific parts of the Library's holdings of rare material are invaluable, but here again, ever-dwindling resources may well pose a threat to further developments in this field. Co-operation on a national or even an international scale may well be the only way of making the European heritage, at least, available for scholars. Several such cooperative projects are under way. The *Gesamtkatalog der Wiegendrucke* is a prime example.

The *[English] 18th-century short-title-catalogue (ESTC)* draws its contributions from a great many libraries in Britain and North America. The *Incunable short-title-catalogue (ISTC)* is international in concept and in practice. Another cooperative project, the *Short-title-catalogue Netherlands*, a programme to catalogue all Dutch imprints, 1540-1700, based in The Hague, is enlisting the help of libraries abroad. The Herzog August Bibliothek in Wolfenbüttel and the British Library have agreed to contribute. These are but a few examples and other delegates will be able to tell of similar projects in their countries, but we shall all have to work towards extending these cooperative cataloguing programmes, though it will mean overcoming our national or local differences and agreeing to international standards.

RESEARCH AND PUBLIC SERVICES

Professor Fabian in his paper *Forschung in einer Zeit der Sparpolitik und des Bibliothekswandels* will discuss how reduced resources affect the library user. Research in libraries, however, is not only carried out by the user, but by the librarians themselves, either directly on behalf of the user, or indirectly by making the collections or part of the collections more easily available to present and future users, or by advancing the knowledge of certain subjects. It is sad, but probably unavoidable, that in times of financial constraint, librarians' research suffers and particularly that kind of research that is not directly beneficial to the users. The service given to the media, to business, to financial corporations, to all those who have financial clout and are willing to pay for research done on their behalf, appeals to library administrators and is willingly provided. Research needed to give the users access to the collections can be easily defended. Research carried out on behalf of remote users is a service most libraries feel they ought

to provide, even if they can't provide it free of charge. However, a growing number of enquiries and a diminished staff complement have in some libraries resulted in a need to be selective in the kind of enquiries that can be dealt with and to restrict the amount of time that can be spent on each.

Research leading to high-quality scholarly publications of the kind that establishes and enhances a library's reputation is increasingly at risk. The pressure on scholarly and specialist staff to administer departments and manage personnel, the pressure to remove the specialists from the day-to-day contact with the material they study, and the pressure to get through more urgent work more quickly, leading to greater superficiality and to lack of time for close observation and reflection, will affect the quality as well as the quantity of scholarly publications emanating from our research libraries. Moreover, although those who are devoted to their subjects struggle on, there is no continuity, and the emphasis on productivity, the need to go out to raise money, the demand for justification of all time and money spent (expensive in time and money in itself), do not create a climate that is favourable for educating young scholars or for fostering research.

CONSERVATION

Although the interest in conservation and the knowledge of conservation techniques have increased over the past decade, the financial resources that can be devoted to the conservation of books and documents have, after initial generous funding, — at least in the UK — diminished over recent years, leaving libraries with better knowledge of their conservation problems, but still without a solution. Lack of sufficient money and lack of properly-trained conservators, have led to a shift of conservation practice in favour of cheaper options. One such option, the attempt to prevent or slow down damage through the emphasis on proper atmospheric conditions, the application of first aid, the use of simple furbishing techniques, the increased use of boxes and protective wrappers, is a positive aspect. It could even be argued that lack of money has increased caution and the wholesale rebinding and over-restoring of the past has been much reduced, not only because a philosophy of preserving rather than restoring has taken over, but also because lack of resources has forced curators and conservators to think of and adopt cheaper and in many ways safer options. However, one should not forget that such options do not stop further deterioration, they only buy time.

Another option, that of substitution, is less acceptable, especially for rare material where the form is often as important as the content. A microfilm or fiche is no substitute for a rare book or manuscript, and although a microfilm or fiche can be used by some to reduce the wear and tear on the original, most bibliographers will need to see those elements that are not visible in microform, such as paper and vellum, make up, construction, colour and shades of ms notes, techniques of illustration, binding, and so on.

The lack of money for conservation has grave implications for the future of rare book and manuscript collections and archives. First-aid activity is not enough. More research into conservation techniques is needed, not only into bulk treatments, but also into safe and reversible treatments for damaged special materials. This research has to be funded. Conservators have to be trained and then employed. All this costs money. Too much emphasis on productivity leads to bad work practices and expensive mistakes. First class material, lengthy experimenting, slow and careful work, are not the way to treat many books and documents cheaply, but they are the the way to preserve our rare and valuable material.

Consequently, if we believe that a knowledge of the past has a vital role to play in the shaping and education of future generations, if we want to provide the means for this education, if we understand that there is more to books than their contents, if, in short, we are convinced that our rare book and manuscript collections are worth expanding, maintaining, studying, and preserving, more money will have to be devoted to them.

There is no point in lamenting the shift in political emphasis away from humanities research. We shall have to pool our resources and we shall have to cooperate, nationally and internationally, in order to maintain the adequate coverage of our national and international heritage. We shall have to cooperate in order to make this heritage available. We must overcome local differences in order to establish an international database of rare book materials. Only then shall we know how to share the responsibility for the coverage, maintenance and preservation of the past. We shall need to raise money to do so and we shall have to persuade governments, corporations, foundations and institutions that we are asking them to support a worth-while cause. Equally important, we must solicit private donations and benefactions and we must join forces in our attempts to press for better tax incentives. We shall have to show, through argument, but also through research and publications, that what we collect and preserve is of vital importance for the understanding, not only of the past, but of the present and the future.

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IFLA

Division: Collections and Services

Section/RT:

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IFLA Division of Collections and Services

by

Hope E. A. Clement

Chair, Division of Collections and Services

and

Associate National Librarian of Canada, Ottawa

For presentation at "Orientation to IFLA", August 20, 1989

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IFLA DIVISION OF COLLECTIONS AND SERVICES

IFLA has always had the difficult problem of dividing up the very diverse interests of its members into organizational units and its eight divisions are based on different ways of grouping libraries, their activities and other professional aspects of librarianship.

Present divisional groupings fall into four types:

1) Divisions based on type of library: General Research Libraries, Special Libraries, and Libraries Serving the General Public.

2) Divisions based on library collections, functions or services: Bibliographic Control, and Collections and Services.

3) Divisions based professional and management issues: Management and Technology, and Education and Research.

4) One division, Regional Activities based on geographic area.

The Division of Collections and Services falls into the category of library collections, functions and services, and its five sections are all concerned with library collections and their use. The division comprises a section concerned with the development of library collections in general, three sections concerned with particular types of library materials and one with sharing of collections. Therefore the Division attracts both librarians with expert knowledge of particular types of materials and those with expertise in particular

library processes, namely acquisitions and interlending. Although the general coordinating theme is collections, the division is not a particularly cohesive by one as far as common section interests and programmes are concerned. The sections draw their membership from all types of libraries, as all libraries have collections and most are involved in resource sharing, such as interlending and exchange programmes.

The Division's mandate is first, like that of all IFLA divisions, to coordinate and promote the work of its sections and to review their plans, budgets, projects and programmes and, through the division chairman, to represent division interests on the Professional Board. Its specific professional mandate is to develop the concept of collection building and library service through the study of acquisitions problems, reference and information services, users interests, and library cooperation in these areas.

The Division to date tends to concentrate more on collections than on services and areas which have been somewhat neglected are user needs and general reference and research services, although a Reference Workshop is being held at this Conference.

The core programme with which the Division is most closely associated is Universal Availability of Publications (UAP), however, it also relates to Preservation and Conservation (PAC) an area which is especially important for Rare Books, to Universal Dataflow and Telecommunications (UDT) especially in the application of Open Systems Interconnection (OSI) to interlending protocols and in the future to acquisitions and

its Sections concerned with serials, official publications and rare books have always been interested in the bibliographic control of these materials, that is with Universal Bibliographic Control and International MARC (UBCIM). The Division or its Sections are presently represented on the Advisory Committees of all four core programmes.

The Division has five sections: Acquisition and Exchange; Government Information and Official Publications; Rare and Precious Books and Documents; Serial Publications; and Interlending and Document Delivery.

There is one Round Table on Newspapers belonging to the Section on Serial Publications. This Round Table was approved in 1988 as a result of the work of the very active Working Group on Newspapers and will conduct its own programme based on its objectives of the improvement of international access to newspaper resources.

Section on Acquisition and Exchange

The Section has as its terms of reference the discussion, investigation and preparation of studies relating to the theory and practice of library acquisition work in general, and the exchange of library materials in particular, with the aim of improving acquisition and exchange work worldwide.

Its Medium Term Plan includes the following: effectiveness of exchange; models for repository libraries; use of new technology for acquisitions; core collections of periodicals; national acquisition policies, barriers to acquisitions especially in developing countries; links between libraries, publishers and booksellers; and grey literature.

Its current projects are: an International Exchange Bibliography, 1981-1990, to be published by the Lenin State Library in Moscow. Current titles for each year will appear in the Section's Newsletter which will be initiated this year. The Section is tackling the difficult issue of differential pricing, beginning with a survey. The questionnaire has already been sent out to research libraries and a preliminary report is being given at the Section's open meeting in Paris, with a final report and a discussion planned for Stockholm in 1990. A project is also underway on the scope and financial effectiveness of international exchanges.

Section on Government Information and Official Publications

The Section recently changed its name to emphasize its interest in the accessibility of government information in general as well as in published information. Its Terms of Reference are to study all aspects of official publications and government documents, including their definition, acquisition, bibliographic control, availability to the public, interlending, standardization and the training of specialized libraries.

Its Medium Term Programme includes the following: the production of a Directory of specialists in government information and official publications, library organizations concerned with government information and major government publishing agencies; the development of Guidelines for bibliographies of international publications; a review of the form and structure of government corporate headings and the holding of training seminars on government publications in developing countries.

These training programmes are among the Section's active current projects and seminars have already been held in Rabat, Morocco for French-speaking Africa in 1987 and in Sydney, Australia, for the South Pacific in 1988. A seminar is planned for Latin America in the late fall 1989 and will be held in Brazil. At a later date, possibly in 1990, a seminar will be held for and in English-speaking Africa.

The Section is also involved in a Survey on Bibliographic Services of International Intergovernmental Organizations.

Section on Rare and Precious Books and Documents

The Section's Terms of Reference are to consider all matters concerning the acquisition, processing, conservation and use of older and more valuable books and manuscripts.

Its Medium Term Plan encompasses the following: the support of international catalogues of past literary production and of cataloguing and bibliographies in areas which are of particular international concern, such as the book production of the 15th century; assisting the production of the Gesamtkatalog der Wiegendrucke and the extension of similar bibliographical control to the end of the 16th century; promotion of the exchange of bibliographic information on older books in machine-readable form; development of standards for the storage and use of rare books and of guidelines for the reproduction of such books; and promotion, conservation, preservation and availability of the manuscript and printed cultural history of developing countries.

The current projects of the Section are the finalization of the work on A World Directory of Museums of the Book and

plans for the future of the Annual Bibliography of the History of the Book. The Section is involved in the planning, with the Section of University Libraries, of a Workshop on Library Security for Stockholm.

Section on Serial Publications

The Section's Terms of Reference are to study problems concerning serials in libraries, including bibliographic control, cataloguing, management and conservation.

Its Medium Term Plan includes: guidelines for compilation of union lists of serials and handling of newspapers in libraries; an international directory of serials librarians; review of current developments affecting serials librarianship, especially ISDS; guidelines for binding and conservation of serials; interface with indexing and abstracting services; promotion of courses on serial publications and the impact of new technology on serials.

Its current activities are: the completion of the International Directory of Serial Experts; work on a manual on basic serials management and on library identifiers in union catalogues and the OSIRIS project for formulating an Online Serials Information Registration and Inquiry System.

As already mentioned, the Section has one Round Table on Newspapers.

Section on Interlending and Document Delivery

Its Terms of Reference are to consider all matters relating to the lending of library materials between institutions, with special reference to international transactions, including the supply of copies in place of originals.

Its Medium Term Programme includes: the optimization of union catalogues; automation and its impact on interlibrary lending; the impact of electronic publishing on library collections and interlending; the impact of copyright on document delivery; the principles and practices in charging for interlending and document delivery; problems of interlending in developing countries and regional seminars for interlibrary loan specialists.

The Section is very fortunate to have a secretariat and support body in the form of the IFLA Office for International Lending (OIL) at Boston Spa and the Section acts as the Office's Advisory Committee and projects are carried out with the very considerable help of the Office. I have listed some projects of OIL but I will leave it to Graham Cornish to elaborate on them in the next part of this programme.

The section is also monitoring closely the Open Systems Interconnection (OSI) projects involving a standard protocol for interlending messaging which are being carried out under the auspices of the UDT Programme and of the Council of Europe.

Paris Programme of the Division and its Sections

A Divisional Open Forum will be held for the first time on August 21 at 10:00 and all interested IFLA participants are cordially invited to attend and hear at first hand reports from the Section chairmen on their work and activities.

As chair of the Interlending Section, I was actively involved in the planning for the official Pre-session Seminar on Interlending and Document Delivery which has just been held here in Paris August 14 to 16.

All sections will have programme meetings with the exception of the Government Information and Official publications Section which is planning instead study tours to the Government Publications Department of the Bibliothèque nationale and to the Documentation française.

Various divisional units are also holding workshops this week as follows:

August 24: "Burying the Treasure - Repositories as an Element in National Resource Planning", a workshop sponsored by the Acquisition and Exchange Section and the UAP Programme.

August 24: "Reference Services for Publications of Intergovernmental Organizations", a workshop sponsored by the Government Information and Official Publications, the Bibliography, and the Social Science Libraries Sections.

August 24: "La Presse de la Liberté", a workshop sponsored by the Round Table on Newspapers of the Serial Publications Section.

August 25: "Retrospective Bibliography Projects in Southern Europe", a workshop jointly sponsored by the Rare and Precious Books and Documents, and the Bibliography Sections.

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Divisional Open Forum Reports: Section on Rare and Precious Books and Documents

by

Richard Landon

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Meeting No: 92

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Estimated number of participants in the meeting: 39

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IFLA RARE AND PRECIOUS DOCUMENTS SECTION
Annual Reports 1987-88

The Section's membership this year stands at sixty-one; the Standing Committee now has ten members. During the past year William Matheson retired from his position of Chief of the Rare Books and Special Collections Division of the Library of Congress and his successor has not yet been appointed. Thus, there is at present no representative from the United States on the Standing Committee. The Chairman has asked the Executive Committee of the Rare Books and Manuscripts Section of the Association of College and Research Libraries (American Library Association) to consider the possibility of nominating an official representative from its organization. This would provide two members of the Standing Committee from the United States and ensure more continuity of participation in the work of the Section. The Section needs to expand its membership for although its five corresponding members provide global representation there are noticeable gaps. Standing Committee members are needed from Japan, South-East Asia, South America and, most particularly, from the Scandinavian countries. Membership was discussed by the Committee at its Sydney meetings and the Chairman will pursue suggestions made there. It seems that the qualifications for membership on the Standing Committee are not well understood and a brochure on the work of the Section and IFLA membership will be prepared and widely distributed during the next year.

It has been suggested to the Chairman that the name of the Section, "Rare and Precious Books and Documents", is now anomalous and does not accurately reflect the form and functions of institutions and departments represented by the membership. One Standing Committee meeting in Sydney discussed a simpler and more expressive form of name and finally agreed that "Rare Books and Manuscripts" Section covered, in a general sense, the objectives of the Section, at least in English. The name must, of course, be translated accurately, not literally, into French, German, Russian and Spanish; the other official languages of IFLA. The Chairman will undertake to have this done, circulate the results to all Standing Committee members for comment, and submit the final forms to the Professional Board for action.

As part of the re-structured procedures for the IFLA General Conferences, approved last year in Brighton, the Section sponsored a Programme meeting of three papers and co-sponsored a workshop with the Bibliography Section. The programme meeting focussed on rare books and special collections of Australia, New Zealand, and the South Pacific islands and was attended by over eighty conference delegates. Sharon Dell, the keeper of Collections at the Alexander Turnbull Library in the National Library of New Zealand, spoke eloquently on "South Pacific Books and the Concept of Rarity". Using the example of a series of books printed on the Cook Islands by the London Missionary Society press during the nineteenth century she was able to demonstrate the genuine rarity of these kinds of publications. Because the strongest collections of books and pamphlets in Pacific Islands languages are held by the large research libraries on the fringes of the region and because there is increasing interest in these works by the people of the countries who first produced them Ms. Dell was able to convincingly suggest

that the institutions with the collections ought to extend their role "beyond bibliophily" and actively participate in the dissemination of these texts and in the bibliographical research necessary to finally chronicle and describe the history of printing in the South Pacific.

Trevor Mills, Rare Books and Special Collections Librarian of the University of Sydney Library delivered a paper on "The Future For Rare Books Collections in Australia" in which he discussed the difficulties of creating an effective professional organization of rare books librarians in a country where relatively few institutions have emphasized their special collections departments and the demography of the country inhibits regular interaction. He noted that the Special Interest Group on Rare Books and Special Collections of the Library Association of Australia had languished over the past few years and sought suggestions from the audience to correct this. Mr. Mills also provided a more controversial perspective on what he called the "cop-out" of the revered principle of collection development: "building on strength". He called for more cooperation between institutions with regard to fields of collecting and warned against institutions becoming "locked into patterns of collection-building we've inherited". In a country where considerable emphasis, both from private collectors and from institutions, has been placed on the history, literature and art of Australia these points seem appropriate and did generate some discussion by members of the audience.

Richard Landon, the Director of the Thomas Fisher Rare Book Library at the University of Toronto, spoke on "Australiana and Canadiana: The Exile Narratives". He described the content of the Exile Narratives, the accounts of penal servitude written by nine Canadian "patriots" who were transported to Van Diemen's Land and New South Wales after the rebellions of 1837-38 in Upper and Lower Canada. He emphasized the rarity (and, consequently, the lack of historical exploitation) of these works and suggested that the historical parallels between Australian and Canadian colonial experiences had not yet been sufficiently examined.

A protracted and interesting discussion between the speakers and members of the audience took place at the conclusion of the formal presentations. The Chairman was gratified to be told by a member of the audience that he had particularly enjoyed attending a programme session where three papers on three different topics were presented.

The workshop on Short-Title-Catalogue projects, co-sponsored by the Section with the Bibliography Section, was attended by some thirty-five delegates and the three presentations engendered considerable comment from the audience. Henry Snyder, the Director of the Eighteenth Century Short Title Catalogue / North American project, described the work achieved so far on this attempt to provided detailed, machine-readable descriptions of all eighteenth-century English books. Australian institutions have not, it appears, yet reported as many of their holdings as had been assumed.

Frank Robinson, the Director of the Nineteenth Century Catalogue Project reported on the progress of his team's efforts to record nineteenth century English books. This project relies on the catalogues of eight major institutions for its data and does not normally examine the books themselves.

A.C. Willemsen, representing the Dutch National Retrospective Bibliography project, presented a paper which described the history of this impressive project and reported its progress. Based in the Royal Library in the Hague, this bibliographical data base will make available records of the complete corpus of Dutch books to 1800.

Members of both Standing Committees felt that the workshop had been successful because it was focused and sufficient time was allowed for discussion. The two chairmen almost immediately began to plan another session for the Paris 1989 IFLA Conference, this time to focus on retrospective bibliography projects in Spain, Portugal, Italy, France, and West Germany. It is proposed that representatives of each of the national projects now under way be asked to describe the parameters of the project, its methodology, and progress so far. This might, in turn, provide a perspective for two conferences outside IFLA, in 1991 and 1992 on standards of description for large retrospective bibliographical projects.

The Standing Committee meetings of the Section, although attended by only three members (Landon, Garreta, and Kaltwasser) and by a few observers, transacted a considerable amount of business and exchanged a good deal of information as a glance at the minutes of the meetings will demonstrate.

The Section retains its interest and participation in aspects of all the Core Programmes of IFLA and has a special responsibility for Preservation and Conservation on whose Advisory Committee it is represented by Mirjam Foot. Her term having been completed she was nominated by the Section and by the Coordinating Board for a further two-year term.

Jaroslav Vrchotka reported, through the chairman, on the final year of his sponsored project "A World Directory of Museums of the Book". He will, this year, return to Germany to complete his investigation of instructions in that country and hopes to have the final text of his book finished by the end of 1988. The completed manuscript will be edited by Elaine Paintain in London (who has generously volunteered her time) and then submitted to the IFLA Publications Committee to be issued as an IFLA monograph. This will bring to conclusion a most satisfactory project on which Dr. Vrchotka has worked for many years. He is to be congratulated.

The future of the Annual Bibliography of the History of the Book and, in particular, its editorship in view of the impending retirement of Hendrik Verliet was discussed again at the Sydney conference. The chairman was able to report that, based on discussions in the Hague in January and on meetings held in Sydney, the Dutch Royal Library has evinced considerable interest in assuming responsibility for the project and is authorized to hold official discussions concerning it. A working Group (Landon, Foot, de Wolf, van Wesemael) will meet in November to further pursue the question of editorial responsibility and to discuss the relationship of ABHB to IFLA and the scope of the publication. The Chairman has asked the Council of the Bibliographical Society of America to assist in locating a contributing editor for the United States as the incumbent, Howell Heaney, has also decided to retire. As the section is

officially the sponsor of ABHB it is hoped that continued prosperity of this important publication will be ensured.

The International Council on Archives through its Secretary-General, Charles Kecskemeti, has asked that IFLA consider working with it on the problems of literary and artistic archives. The Section was asked for its involvement and the Chairman readily assented. A small Working Group, consisting of Richard Landon, Sarah Tyacke, Mirjam Foot and Guust van Wesemael, will meet with representatives of ICA to determine exactly what is required of this joint project and what the focus of any investigation should be. Initially, perhaps, attention should be concentrated on the ways various kinds of libraries, archives, and other institutions in different countries handle literary archives now: who collects what, how it is described, how it is made available, and how information concerning holdings is disseminated. The thorny question of standards of description might come later. It seems, though, that this will be a long-term endeavour with many ramifications. As an example of the kind of cooperation possible between two major international organizations it is to be highly commended.

The Section had, for many years, a Working Group on book theft prevention. Last year the Standing Committee decided to request that the problem be made the responsibility of a larger administrative authority of IFLA and, after some discussion, the University Libraries Section has proposed a seminar to be held in conjunction with the IFLA Conference in Stockholm in 1990. The RPBD Section has agreed to act as a co-sponsor, along with other interested sections, and the Chairman will pursue the questions of format and content with Beverly Lynch and Henry Heaney, the representatives of the University Libraries Section. Such a seminar (at least a day

is envisaged) should not attempt to deal only with library theft and its concomitant, library security, but should consider the more general problems of the international trade in stolen books, manuscripts and art objects, insider theft and a whole host of other practical concerns. Thus the antiquarian book trade, archives, international police agencies and perhaps representatives of museums and galleries should be invited. This seminar will be a large undertaking but interest in it will be very strong.

Several IFLA sections now publish regular newsletters to inform their members of the work of the section, to solicit suggestions for projects and to encourage new members to join. The RPBD Section has relied, for the past few years, on the Nouvelles du Livre Ancien, edited by J.C. Garreta, to report news of its meetings. This year the question of whether the Section required its own newsletter was again raised and discussed. It was decided that Nouvelles du Livre Ancien provided an excellent medium of information for the Section but more articles and reports needed to be provided. Accordingly the Chairman has asked that items of information and articles concerning the Section be submitted to M. Garreta and proposes to publish this Annual Report there. The mailing list will also be updated so that all interested colleagues (and some who aren't but might be) can be kept informed.

A brochure will be prepared which describes the work and projects of the Section and puts them in the context of IFLA itself. This will be widely distributed in an attempt to make the Section better known internationally and to recruit more members for it.

The 1989 IFLA Conference will be held in Paris from the 19th to the 26th of August. Its theme: "Libraries and Information in Yesterday's, Today's and Tomorrow's Economy" will be addressed by the RPBD Section with a programme meeting which will focus on the economic aspects of rare books and special collections libraries. The programme of three papers will be organized by Mirjam Foot and Jean-Claude Garetta and will coordinate nicely with a conference of the Rare Books and Manuscripts Section of the American Library Association to be held in Cambridge, England from Sept. 5th to 8th.

Planning has also begun for the Conference to be held in Stockholm from August 18th to 24th, 1990. The theme of the Stockholm Conference is "Libraries for Knowledge" and suggestions for RPBD Section papers are ernestly solicited.

As will be evident to anyone who has read this far the past year has been very busy and the next year promises to be equally so. The Section is involved in a number of important projects, working groups and publications, all of which contribute in important ways to the overall objectives of IFLA. The chairman appreciates the support of the Standing Committee and, particularly, of the Secretary/Treasurer and looks forward to another productive year.

IFLA GENERAL CONFERENCE AND COUNCIL MEETING PARIS 1989

Division: Collections and Services

Section/RT: Acquisition and Exchange

103-ACQUIS-3-E

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Acquisitions in Sub-Saharan Africa: The Example of the Bibliothèque Nationale of Paris

by

Paulette Lordereau
Bibliothèque nationale
Paris, France

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Estimated number of participants

Acquisitions in Sub-Saharan Africa:
The Example of the Bibliothèque Nationale of Paris

Paulette LORDEREAU

The acquisition of books and periodicals published in Africa were undertaken in a systematic manner relatively recently. It was following the "International Conference on African Bibliography," held in Nairobi in 1967 that chief curators of Departments des Entrèes et des Périodiques decided to develop the sector of African acquisitions. Until then, books published in Africa entered through exchanges between the Bibliothèque Nationale and some libraries of the Francophone countries.

This acquisition work had to be accompanied by documentary research on Africanist production in France. The Département des Entrées collaborated with the Bibliographie Française sur l'Afrique, published since 1968 by the CARDAN--Centre d'études africaines des hautes études en sciences sociales. In 1977, this work became the Bibliographie des travaux en langue française sur l'Afrique au Sud du Sahara.

Madame BERNE began communicating the Bibliothèque Nationale catalogue cards concerning Africa to the CARDAN in 1968, and I continued this work starting in 1972. We will see later that this collaboration has shown itself extremely useful in the work of acquisitions.

What types of documents do we buy?

Our purchases are essentially monographs and serial publications kept in the Département des Imprimés and the Département des Périodiques.

I will not speak about the purchasing policies of other departments of the Bibliothèque which have their own budget and specialists.

The choice of books is made by the Service des acquisitions, but that of periodicals is done with the cooperation of the Service des périodiques étrangers--the bibliographical research always being in the charge of the curators of acquistions.

It is the buyer who decides whether the acquisition will be by outright purchase or request for an exchange.

In which countries do we buy?

To the extent possible, we make our purchases in all the sub-Saharan African countries. The Arab service takes care of acquisitions from North Africa and, of course, from Egypt and Libya.

We give priority to the publications of Francophone countries. Earlier, and thanks to the Legal Deposit, the holdings of the Bibliothèque Nationale were considerably enriched by the collections of the colonial period. It is therefore important not to create a break in the African holdings. As each country achieved independence, the Legal Deposit normally

ceased to come to us. Nevertheless, a number of books published in Africa but printed in France continue to arrive through the Legal Deposit by printers.

In accord with the general policy of foreign acquisitions, we purchase literary works and books in humanities. As concerns Francophone Africa, a larger than usual accent is placed on social sciences, on studies of the oral tradition, customs and religious or didactic works in local languages.

Documentation used

Since the African national biblographies arrive with considerable delay, we resort mainly to the following lists or bibliographies:

-- The African Book Publishing Record (Oxford)
-- Accessions list - Eastern Africa of the Library of Congress
-- Bibliographie des travaux en langue française sur l'Afrique au Sud du Sahara (Paris)
-- International African Bibliography (London)
-- "Vient de Paraitre" published by the Centre de documentation de Radio France International

Of course we also use the catalogues of African publishers, lists of specialized booksellers, periodicals, etc.

Our collaboration with specialized research centers, such as the CEA (already cited) and the CNRS (the group of research on African literature), is very useful to us for the information we receive from researchers who go to Africa often. They keep abreast of recent publications and, being on the spot, can assist in the acquisition of these documents.

Types of acquisition

I already cited the case of publications which come to us via the Legal Deposit by printers. This mode has become less frequent with the development of printing in Africa itself.

We receive some books directly from authors or from libraries or research institutes. We also have exchange relations with most African libraries. On this point, I wish to refer to the report by Madame Ben Khemis at the Congress of IFLA in Nairobi in 1984.

During the years which followed the independence of the Francophone countries, we thought we could count on the arrival of works obtained thanks to International Exchanges. It quickly became evident that regular purchases were necessary to the devlopment of a coherent collection.

Since it didn't exist before 1970, we had to create a complete network of booksellers and jobbers--preferably within the country of a book's publication. The negative side of this approach was the dispersal and multiplication of numerous orders which were only partially filled. These days, along with local booksellers, we increasingly use specialized

European jobbers. Purchases from some Africanist booksellers in Paris has the advantage of allowing us to see the books in advance.

I shall not insist here on what every librarian responsible for an African sector knows well, the difficulty of buying in countries where books are generally poorly distributed.

The value of travel for the purpose of acquisitions which should be obvious for all countries is even more significant where Africa is concerned. Unfortunately, while this practice is common in the Anglo-Saxon countries, it is little used by the us. However, thanks to a grant from the CNRS, I was able to attend the Dakar Book Fair in 1985. In addition to the contacts I made with the African booksellers present at the Fair, I was able to visit the main libraries of Dakar and the Archives and to bring back a number of books. It was possible to do the same during a personal trip to Mali in 1977.

As I have said, such trips are much more common among our Anglo-Saxon colleagues. I was able to see this during a study trip to the United States and during a 15-day stay at the library of the University of Frankfort.

We might also deplore the absence of a shared acquisition plan similar to that of SCOLMA in the UK or of the West German libraries.

The creation of the Bibliothèque de France will doubtless permit the expansion of these acquisitions and will favor cooperation with other libraries holding African collections.

Until now, this collaboration has often been the fruit of personal initiatives and of the support of the Mission of Research of the former Ministry of Universties.

The Département des Entrées étrangères, headed until the beginning of this year by Mlle. MORIN, published several catalogues devoted to the African collections and, in particular, to the literary collections of 1973-83. An inventory of the period 1920-72 is in progress and will, I hope, be completed this year.

IFLA GENERAL CONFERENCE AND COUNCIL MEETING PARIS 1989

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The international problem of differential pricing for research literature

Preliminary report on a project

by

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The problem of differential pricing has been a focal point of the IFLA Section on Acquisition and Exchange since 1987. In 1988, Ulrich Montag read a paper introducing the topic at the Sydney IFLA Conference. Part of the project on "Differential pricing" involves distributing questionnaires to research libraries worldwide. In April 1989 an English language version was sent to more than 500 libraries in 78 countries. The evaluation of the responses received by mid – May is the basis of this preliminary project report.

The questionnaire simultaneously addresses several areas of concern to IFLA:

First, it attempts to gather information about the policies of differential pricing and their effects. Also, libraries will be informed about differential pricing and ways to circumvent it. And finally, it provides possible and realistic responses of research libraries towards the policies of differential pricing forced upon them by multinational publishing companies. These policies must also be seen in the context of the general development of prices for research literature.

The initiative of the IFLA Section on Acquisition and Exchange found widespread approval and considerable interest in its questionnaire, indicating the importance of the issue to libraries all over the world.

The final report on the project, planned for 1990, should become the basis for negotiations of IFLA with publishers and their associations.

The motto of this year's IFLA Conference in Paris - The Role of Libraries and Information in the Economy: the Past, the Present and the Future - naturally, has a special meaning for the Section on Acquisition and Exchange. Acquisition librarians around the world clearly sense that the information they should collect has become so expensive that it is no longer affordable to every library. In this way libraries' collection building is greatly reduced and their function as the collective memory of mankind is endangered.

For some years an increasingly greater number of librarians have come to realize that, apart from the general, extremely high price increase for library materials, it is the policy of differential pricing, exerted by an ever increasing number of internationally important publishers, that is a main cause for the deterioration of libraries' purchasing power. There are two ways of charging libraries excessive prices by this policy:
firstly, as institutions in comparison to individuals, and secondly, based upon their geographical location in relation to the country of origin of the literature.

Because even strongly worded articles of protest by librarians against this procedure used by many publishing companies have been fruitless the IFLA Section on Acquisition and Exchange has taken on the problem, making it one of the focal points of its work.
It hopes to attain international solidarity among librarians so they can act as a united front to oppose the publishing companies already operating across national borders.
To this end, Ulrich Montag, Secretary of this Section, opened the campaign with a paper entitled 'Differential pricing in the international book market' at last year's IFLA General Conference in Sydney, Australia.
The questionnaire and accompanying background information announced in the paper was initially drafted in German by Rolf Griebel. It was discussed by the Section in Sydney, and then Ulrich Montag wrote a revised version in English which achieved its final form.

It consists of a short introductory letter, a 'Fact Shet', and the questionnaire itself. In April 1989, about 500 copies were sent to libraries and library associations in the English and German speaking countries. A translation into French and a Spanish version will follow this summer. Rolf Griebel evaluates the questionnaires when they are returned.
The final report will be given at the IFLA General Conference in Stockholm, Sweden, in 1990. Then, the Section will know the opinions of many of the most important research libraries of the world concerning the problem of differential pricing. Hopefully, there will be negotiations between IFLA and publishers' associations which will help to defuse the situation and avoid direct confrontation. Despite the progress of the electronic media, paper will remain the most important means of conveying information. The price of such information should be set by publishers world-wide in a way which is reasonable to librarians.

1. Description of the sample

The questionnaire-project approved by the IFLA Professional Board will have several stages, lasting to the end of 1989. At first, an English version was sent, in April, to 509 libraries in 78 countries. 30 % of these libraries are in Europe, another 30 % in North America, 16 % in Asia, 11 % in Africa, 7 % in Latin America, and 6 % in Australia. Based on the holding and financial data given in the International Library Directory, the most important research libraries of each country were selected. First, national and university libraries, then parliamentary and institutional libraries, libraries of research institutions and even some large public libraries, were selected to receive the questionnaire.
The following evaluation had to be limited to the responses received by mid — May. The extreme importance of this issue to research libraries all over the world is shown by the fact that at that early date the responses of 105 Libraries in 22 countries have been received. These were mainly from Western Europe and North America.

The initiative of the IFLA Section on Acquisition and Exchange found lively interest and widespread agreement with the goals of the Section. This agreement was expressed in written form in the section of the questionnaire reserved for individual commentary and was also shown by the fact of the very detailed answers given to the non-multiple choice questions. Therefore, we would like to thank all libraries for their cooperation. Despite the time limit, we believe that the following evaluation is based on a sufficient sample and will thus concentrate on the most important results, central statements and trends.

2. Structure of the questionnaire

The questionnaire consists of four parts. In concept and method it tries to cope with the different collection building profiles and manifold ways of acquisitions in various geographical areas. The questions of the first part request financial data in the acquisition of foreign literature. The policies of differential pricing, according to the institutional or individual status of the subscriber, are surveyed in the second section. The topic of the third part is price discrimination by geographical criteria. The concept of these latter two parts is to gain much information about the policies of differential pricing and their consequences for the survey of the project and at the same time to disseminate information on the practices of dual pricing and possible countermeasures. The last section aims at responses of research libraries to this policy of differential pricing forced upon them mostly by multinational publishing companies. This has to be seen in the context of the general development of prices for research literature, where excessive increases abound that endanger this literature supply altogether.

3.1. Financial data for the acquisition of foreign literature

First, the position of foreign literature in the acquisition policy of research libraries is surveyed. By definition the term "foreign literature" also encompasses the production of foreign publishers sold by a distributor or organisation of the like, in the country in which the respective library is located. The share of the overall expenditure spent on the acquisition of foreign literature is highly dependent upon the relevance of the production of research literature in the respective country. The foreign share is more than 70 % of the total acquisitions budget in nearly two fifths of the libraries, between 50 and 70 % in another one fifth, between 30 and 50 % in one third and under 30 % in less than one tenth. Altogether, the foreign share is higher for serials than for monographs.

A comparison of the price development for domestic and foreign literature shows that 80 % of the libraries experience a domestic increase of less than 10 %, whereas more than 50 % indicate a foreign increase of more than 10 %, 21 % of more than 15 %. In evaluating the price development, one has to keep in mind that it depends upon the various acquisition profiles. Prices are escalating for literature, especially periodicals, in science, technology, and medicine at much higher rates than in the humanities. Every comparison of the development of prices for domestic and foreign literature must take into account a fundamental difference. The price index for domestic literature generally shows the primary price increase, i.e. the alteration of the original price. However, the price index for foreign literature reflects the primary price increase and the influence of secondary pricing factors, such as postage, service charges, discounts and, predominantly, fluctiations of the exchange rates. The latter may compensate or aggravate the primary price increase. But altogether, libraries are more adversely affected by the price increases of foreign literature than by those of domestic literature.

i.e. the development of costs as felt by libraries, with the respective development of budgets, this evaluation dramatically confirms that library budget increases continually lag behind price increases and the expansion of the production of research literature. Nearly 80 % of libraries must admit that there are deficits: 30 % feel that the annual difference is more than 10 %. Considering the sample, this is an alarming fact. Because of their budgetary situation, 84 % of libraries have to decrease their monograph purchases, sometimes drastically. 70 % have to cancel subscriptions to periodicals and other serials. The continuous loss of purchasing power endangers the literature supply on national, regional and university levels.

3.2. Differential pricing according to the institutional or individual status of the purchaser

3.2.1 Monographs

The hardcover editions of research literature, especially if originating from the USA or the UK, are mainly produced for libraries. The price differences from the respective paperback editions are often substantially greater than just the cost of the machine binding. Thus, purchasers of the hard bound materials, mostly libraries, are apparently subsidizing the purchasers of the soft bound materials. This marketing strategy is an example of differential pricing according to the status of the purchaser. The survey shows that 57 % of libraries always purchase the hardcover edition. 43 % decide individually utilizing criteria such as the expected frequency of use or if the book will be deposited on closed or free hand shelves. Nearly one sixth of the libraries respond to these exorbitant price differences by sometimes buying paperback editions and then having them bound locally.

This purchasing policy, however, has its problems. The cost saving purchase of the paperback edition has to be compared to the additional staff needed for local binding, regardless of whether it is done

aspect. Acid free paper is, if at all used for the book production, mainly used for the hardcover library editions. The use of durable paper, however, does by no means justify the excessive surcharges for the hardcover editions. Since the binding rate is less than 10 % of the acquisition budget in 86 % of libraries, it is clear that the financial possibilities for binding monographs are very limited.

3.2.2 Periodicals

Particularly serious are the price differences in the expansive periodicals market. In the past, the differences between prices for institutional subscribers applicable for libraries and those for individuals were usually moderate. But during recent years, there is an obvious trend by publishers to increase the institutional rate drastically. Mark - ups for library subscriptions are expanding to include more and more periodicals. These mark-ups have become excessive, especially for indispensable scientific periodicals, where, in some instances, they peak at 1675 % of the individual rate.

The fundamental question, whether this kind of differential pricing may by justified, is answered in the negative by 58 % of the libraries. 42 % accept this dual pricing. The latter responses acknowledge different copyright regulations and copying fees. But it is not worth while discussing again the long disputed question of whether and to what extent the periodicals held in publicly accessible libraries influence the number of private subscriptions sold.

But even the libraries accepting the difference between institutional and individual rates in principle, do so only to a tolerable extent. Nearly 70 % of the libraries responding indicate that the mark-up for a periodical that costs $ 100 for an individual subscriber should not exceed 30 %. 15 % each would accept a mark-up of 50 or 100 %.

Considering the discrepancy between the two prices, some of the libraries try to retaliate through their acquisition policies. One third of the libraries occasionally succeed in acquiring periodicals

But it is to be emphasized that these are only exceptions. There are a few American libraries which find these modest attempts of library resistance ethically doubtful. This is a strange reaction considering the publishers' pricing which tends to maximize profits by re-emphasizing their view that research literature is merely a commodity to be marketed.

Another way for institutions to alleviate the effects of the dual pricing policy is to become a member of the respective society, if possible. 50 % of the libraries choose this way to lower their subscription costs.

3.3. Differential pricing for libraries according to their geographical location

An increasing number of internationally important publishers set the foreign market prices for monographs, but especially for periodicals, at a much higher rate than the national price in the country of origin. They do so either in the original or foreign currencies. Sometimes the foreign markets are segmented into different pricing zones. The developing countries are also subject to this type of differential pricing policy.

3.3.1 Monographs

As to the methods of acquiring foreign monographs, several responses, ranked by importance, could be given in the questionnaire. The results indicate that, apart from some regional differences, the acquisition from a bookseller located in the country of origin ranks as more important than the purchases via an importer or local bookseller, the publisher or other sources.

Generally, libraries know how to circumvent the differential pricing of monographs. Apart from special conditions, as in Japan, they do so from the very beginning by buying the monographs at their original prices in the country of origin or by ordering via an importer a

set by the publisher for the respective foreign market. Instead, they agree on the original publisher's list price as a basis from which to work. From this basis, the final prices, i.e. the costs for the libraries, may be checked in invoices which clearly list postage fees, service charges, discounts, taxes and exchange rates. In reality, however, libraries rather often deviate from this ideal way of acquiring their monographs whose success is highly dependent upon the degree of expertise of the acquisitions librarian and the efficiency of the vendors. 73 % of libraries accept a higher export price as basis for invoicing for reasons such as expedited or uncomplicated delivery.

The evaluation of the responses suggests the conclusion that in some places the problems of differential pricing for monographs have not been discussed intensively and that the excessive price differences were not known. Since libraries can effectively resist the differential pricing policy in monographs by cooperating with efficient booksellers, some publishers, like Bowker's and Scribner's, switched to a distribution by Must-Order-Direct-policy (MOD). By eliminating the booksellers and monopolizing the foreign market distribution through their sole distributorships, they succeed in enforcing much higher export prices. 94 % of libraries cannot open alternative ways of acquisition.

3.3.2 Periodicals

For most libraries, dealing through an international agent is the preferred way of acquiring foreign periodicals. Other sources utilized, though far less frequently, are booksellers in the country of origin, direct order through publishers, and then through importers or local booksellers.

Whereas the policy of differential pricing may be circumvented in the acquisition of monographs, the same is usually not possible with foreign periodicals. Since the single issues are directly sent by the publisher to the respective library, even if the subscription is held by an agent, the publisher has the information necessary for enforcing the differential pricing policy. Obviously, libraries are more concerned with the problem of differential pricing in periodicals than in monographs. This is also shown by the fact that one third of the libraries named publishers and periodicals other than those contained in the fact sheet which attracted special attention by differential pricing. Another indication of the increased awareness of the problem is that 11 % of libraries could give figures for the additional pressure being put on their budgets by this differential pricing policy. Large libraries calculated that $ 200.000 to 300.000 annually is lost due to this policy. These amounts cannot be deemed negligible quantities even if interpreted liberally.

Of course, there is also a way to circumvent the excessive export prices. By "buying around" periodicals may be obtained via the address of a vendor or an agency branch in the country of origin at the domestic prices. There, the issues are not sent from the publisher directly to the library but always via the address of the vendor. Two prerequisites have to be met in this acquisition method: firstly, the publisher must not demand the announcement of the library's address and, secondly, the prices and discounts of the respective subscription package must allow the payment of the additional costs of this extra service of the vendor in an economically reasonable way. Nearly 20 % of libraries use "buying around" in several countries. Some of them indicate, however, that publishers are making it increasingly difficult to "buy around". Libraries, on the other hand do not appear to be making efficient use of the potential of "buying around".
Another method used to combat the geographical price

by foreign library exchange partners at the original prices. 37 % of libraries consider this way, but it has to be limited to very expensive titles with excessive export surcharges because of the additional staff needed.

Whereas institutional and individual rates with tolerable differences would be accepted by some of the libraries, the higher prices for research literature in foreign markets are nearly unanimously rejected. 99 % of libraries firmly support the demand that publishers should set one price per title in the currency of the country of origin and that this price be valid worldwide for research literature which is not a commodity like automobiles.

3.4. Reaction of libraries

Even if only some commentaries given by responding libraries show that they initially became aware of some problems through the questionnaire, it will certainly lead to a more intensive discussion of these issues and especially of the possible responses of libraries to the policy of differential pricing. This must be seen in the context of the general pricing policy which was part of the last section of the questionnaire.

The ideas of librarians as to the further action in the question of pricing especially of differential pricing may be abstracted as follows.

The budgetary situation is so precarious that the reaction of the research libraries must not be limited solely to increased fund raising efforts. The danger always exists that those obliged to pay maintenance hear only the topical lamentation of librarians and not their important, fully justified matters of concern.

90 % of libraries feel that it is now necessary to contact

far-reaching results of a pricing policy which aims only at maximizing profits. The publishers must understand that the excessive price increases cause losses of purchasing power in the research libraries which endanger the literature supply, the international dissemination of important research results and, finally, the public character of international science. The booksellers should join the discussions as they are affected by decreasing amounts of discounts which are actually a clandestine way to increasing prices.

The dialogue with publishers requires a thorough analysis of price development for research literature if there is to be more than a non-committal exchange of generalities. Price indexes have to list price development in the various regions by subjects and types of literature. As to periodicals, the publishers' claim that their content ever increases has to be verified by price per page calculations. Then, the pricing policies of several publishers, especially their differential pricing policies, have to be examined.

This can only be achieved by the national and international cooperation of libraries. Very valuable in this respect are the responses to the question which library institutions or working groups in the various countries have discussed these issues - e.g. the Serials Prices Project of the ARL. The next step has to be the foundation of a clearing-house at IFLA, maybe in cooperation with the European LIBER. It should facilitate the exchange of information between the various groups active in this field, to coordinate their projects, and to publish and disseminate the results. The goal has to be to very quickly inform libraries about the policies of differential pricing of various publishers. Experience has shown that accounts of such practices are not without effect, but instead receive the attention of the respective publishers. As important will be the information distributed to libraries concerning acquisition

policies and the legal basis for countermeasures.

For instance, within the European Community publishers must not hinder the purchase of literature at the lowest price in the country of origin. On this basis, the Committee on Acquisition of the German Library Institute took action against the publishing house of Pergamon. Having in mind the mergers and increasing international integration in the scientific publishing scene nearly all, i.e. 98 % of libraries call for a greater unification of libraries in order to effectively oppose the publishing groups that operate worldwide. Libraries and their associations have to negotiate with publishers and their associations on national and international levels to make clear the precarious situation of research libraries. The position of the libraries would be greatly strengthened in these negotiations if they could gain the support of scholars who are authors or editors as well as users of research literature. 87 % of libraries think it would be an important task to bridge the actual information gap and to inform the scholars about the pricing policy of a large portion of the scientific publishers and the inevitable consequences for literature supply. In these discussions it should be made clear that research institutions no longer need publishers for the publication of their research, but that technology makes possible alternative ways of scientific publishing. This idea is now especially promoted in the USA.

Only as a last step should sanctions against certain publishers be considered. Actions such as concerted cancellations or refrains from purchase should not be lightly attempted because these measures are difficult to manage. Therefore, it is remarkable that for 63 % of libraries these measures would be a welcome means to pressure publishers to modify their pricing policies. Among the libraries for which such measures would not make sense, were some American institutes having doubts based upon the legality of such actions.

Debating with publishers, libraries should not seek confrontation but instead dialogue. A dialogue, however, in which the libraries firmly hold their position. It remains to be seen whether negotiations may cause publishers to yield in the issues of differential pricing and pricing altogether. A naively optimistic view is no more reasonable than a passive and resigning attitude. But the position of the libraries is not hopeless if they unite effectively at national and international levels to present their matters of concern. It has been the aim of this project of the IFLA Section on Acquisition and Exchange to initiate this unification among the world's librarians.

Notes

1 A revised version was published in an English translation entitled "Differential pricing in the international book market" in IFLA Journal 15, 1989 (1, pp. 37-43). An updated and abridged German version was reprinted in Bibliotheksdienst 23, 1989 (4, pp. 361-369).
A list of the most important publications on this topic will be added to the final report in 1990.

IFLA GENERAL CONFERENCE AND COUNCIL MEETING PARIS 1989

Division: Collections and Services

Section/RT: Acquisition and Exchange

140-ACQUIS-4(WS)-B

DEPOSITORY SYSTEM OF STORAGE OF LIBRARY COLLECTIONS IN THE USSR

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TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

The problem of establishing a national depository system of storage of library collections in the USSR is a very important one under contemporary conditions, making the exchange of experience between different libraries a very promising enterprise.

Following the 1974 CPSU Central Committee resolution "On Enhancing the Role of Libraries in the Context of Communist Education of working People and Scientific and Technological Progress", the USSR has formed a structural pattern and formulated tasks and functions of depository libraries as integral parts of a unified system of library and bibliographical services to the readers.

This system contributed to trimming the collections both in individual libraries and in the country as a whole. The system provides for regular elimination of unpopular items from the stocks, preservation of the complete inventory of books published in the country and lays emphasis on informational requirements of national economic experts.

The USSR depository system of storage implies a differentiated pattern of shared responsibility of libraries for the preservation of printed matter along chronological branch, typological and title lines. The network of libraries comprises both depository libraries and those with specialized stocks and actively sued books and documents.

Depositories in combination with libraries and scientific and technological information bureaus comprise a unified nation-wide system operating in accordance with the Rules on Libraries in the USSR (1984). Article 19 of the above Rules says: "In order to use stocks more effectively, libraries, irrespective of their subordination, shall turn over the depository libraries those books and items of printed matter which are in low demand, but have a pronounced scientific or literary value."

Literature in low demand is kept permanently (in one or two copies) in a restricted number of libraries, denominated as libraries-depositories. These must pay particular attention to the way those items are kept, and make them available to all readers and users of inter-library loan system. Non-depository libraries eliminate above literature from their stocks to turn them over to depositories (if need be they can get an original or a copy through the inter-library loan system).

Depository libraries collect stocks, provide library and bibliographical services and ensure a guaranteed preservation of literature.

The system of depository storage is based on combination of branch and territorial principles, and does not have departmental barriers. The branch and territorial principle is complemented by the principle of differentiation between different types of documents.

Depository libraries are divided into four categories, depending on their importance: national, republican, inter-regional and regional.

At the national level, depository libraries are universal ones: The Lenin State Library of the USSR and the Saltykov-Shehedrin State Public Library. Their task is to collect and preserve a universal and possibly complete set of national editions and scientifically-valuable foreign editions. The main stocks are also depository, irrespective of the way they are used. The source of collection is national obligatory copies.

There are also six national multibranch libraries (The Library of Natural Sciences under the USSR Academy of Sciences, The State Public Scientific and Technological Library, The Central State Medical Library, The Central Scientific Agricultural Library and The Institute of Scientific Information in Social Sciences).

These libraries collect and store national and foreign editions on technology, economy and natural sciences.

Specialized and branch libraries collect and permanently store separate types of national and foreign editions, in accordance with their orientation to this or that branch of science and technology (The National Public Technological Library, The Central National Scientific and Technological Institute, The Russian Federation Central Republican Library for the Blind).

Republican depositories.

- universal state and republican libraries which collect and store a complete set of national literature and a universal, possibly complete, stock of documents pertaining to the social and social and economic concerns of a region;

- multi-branch and branch libraries, which collect and permanently store national and foreign editions pertaining to the social and economic concerns of a region;

- depositories of an inter-regional and local significance which have a universal nature.

They are established on the premises of the biggest libraries of the area, incorporating several regions, territories or Autonomous Republics.

Their objective is to preserve and provide the readers with complete collections of national and foreign literature corresponding to the area's natural and economic environment.

The final element of the depository network is territorial, republican (Autonomous Republics) and regional universal scientific libraries, which undertake depository storage of

literature on local history, and also editions on the prominent branches of research in their regions.

At present, the functions of depositories of national importance are performed by 57 All-Union University and branch libraries, the functions of republican and inter-regional depositories, by 82 University and branch libraries of republican and inter-regional significance.

There is a single network of depositories for foreign and national stocks. The depository storage of foreign literature is implemented by the established network of depository libraries.

Interdepartmental cooperation and coordination is instrumental of an effective depository system is to be formed, and is effected in accordance with the Regulations on the Interaction of Regional Branch and Universal Depositories (adopted in 1978).

Under the depository system, libraries must regularly screen editions in low demand. Then they send information on those editions to a depository, which, upon checking it out in the catalogue, orders the items it lacks for storage or forwards the information on the items it has to higher depository.

After selecting the items they need, republican and All-Union depositories must publish the information on unclaimed literature in a combined register of stocks for exchange, so that other depositories and large scientific libraries have the opportunity to get the editions they need.

The demand for depository stocks greatly depends on information available.

Once established, the state system of depository storage has brought about a new approach to collecting and arranging the stocks. Principles of selecting literature for depository storage have been worked out - and important achievement. The basic characteristic of literature in low demand as one never requested for 4 to 5 years has been worked out. Optimal chronological brackets are set up by libraries themselves. They decide on the issue proceeding from the readers' requests, their republics' specifics, and decline or revival of interest in the information contained in the items. In their work to set up brackets, libraries are helped by regulations and instructions of the Lenin State Library of the USSR (See Depository Storage of Book Stocks: Instructions and Recommendations of Methods. Lenin State Library of the USSR, Moscow, 1986).

Only those items of literature in low demand which are removed from library stocks can be sent to depositories. Editions in several copies that a library does not need may be

transferred to exchange fund for inter-regional or intra-regional redistribution.

The system of depository storage places emphasis on exchange funds as a medium of redistribution of literature in low demand.

Still, there are problems with literature in exchange funds that nobody chooses to apply for. One option is to turn it over to waster paper facilities.

Another option is to exclude those items from library exchange funds for future sale to the population. Following an experiment in the Komi Autonomous Republic, the Sverdlovsk and Kharkov regions in 1987, special regulations were adopted providing for sales of books and other printed matter from library exchange funds to the population.

The sale of unused books from the exchange funds to the population is the final element in the system of redistribution of unused editions remaining unwanted after being offered to other libraries through the channels of book exchange and depository storage.

National and regional methodological centers have conducted a scholarly research , and the study of methods and organizational patterns to launch a broad-reaching campaign to locate and screen unused, duplicate and obsolete literature for depository storage, exchange funds or elimination. In 1975-1985 the libraries under the Ministry of Culture alone have transferred to depository storage, exchange funds or elimination some 13 million copies of unused, unnecessary specialized and obsolete literature which cleared 400 thousand metres of shelves for new books that have a greater readership.

Under the Rules of Libraries in the USSR, the role and importance of the depository system is to be enhanced. Depository libraries become a basis for a unified library stock in any particular region and in the country as a whole.

So the present system of handling literature needs to be perfected rather than dramatically changed. An element in the process is the transfer of unused books to depository storage.

The creation of a national system of depository storage has changed the established practice of collecting library stocks.

There are methods which would enable libraries to boost the efficiency of collecting depository stocks and cut the amount of books intended for regular check-ups. One of them is a differentiated approach to collecting, categorizing and storing new items on the stock.

What are the peculiarities for shaping the Profile of collection of the USSR Lenin State Library? How are the stocks cleared of unused literature in this library?

The USSR Lenin State Library boasts the biggest collection of national and foreign literature.

Under the Rules on Libraries in the USSR, it is a national collection of Soviet and foreign printed matter, the biggest public library in the country, a methodological center, an informational center in the sphere of culture and art, and a scientific and research establishment dealing with libraries, bibliography and books.

These functions are instrumental in determining the policies of collecting the library's stocks.

For a long period of time the library used to be guided by the overriding principle of making the collection as full as possible. Increased printed matter output and sometimes inadequate policies of publishing let to overinflation of the library's stocks. Book storage facilities were crammed with a mass of unused duplicates.

A new Profile of collection, currently being worked out, is expected to become an effective steering mechanism to monitor the dynamic process of collection and renovation of the library's stocks. Based on a flexible collection policy, the Profile will control the number of copies of a document to be submitted to the stocks depending on the real demands of the library and its readership.

The inflow of new acquisitions to the main stock of the library is controlled in coordination with the All-Union Book Chamber, archives, branch and inter-branch libraries and scientific and technological information agencies.

The stocks of national documents are characterized by the following requirements, and this will be reflected in the Profile:

- Maximal completeness of the retrospective stocks which is a de facto archive of national documents from the first printed books to the ones published before 1924 (coordination with the ARchive of Soviet Press of the All-Union Book Chamber).

- Selective approach (in accordance with the principle of relative completeness) to the number of copies to be transferred to the stocks proceeding from their importance to the Lenin Library readership and based on coordination with library information sources within the framework of a united national fund.

- Elimination from complete sets of those materials which have low value information-wise and are to be transferred to archives of the All-Union Book Chamber.

- Renunciation of the former 3rd free obligatory copy in Russian and 2nd copy in other Soviet languages to optimize the distribution of obligatory copies between Soviet

libraries under conditions of a unified fund.

The Lenin Library stocks include more than 11, 000,000 items of foreign editions. The multiformity of the Lenin Library functions and the universal nature of the Russian and Soviet literature stored call for a universal character of collection.

These factors and the practice of coordinating the collection of literature established in the USSR influence the amount and types of foreign literature to be collected by the Lenin Library.

As a national depository the Lenin Library collects and stores a maximally compete set of scientifically significant literature from all countries in all branches of knowledge, except editions that have a narrow regional interest. The literature is being currently and retrospectively categorised according to subject matters and types of editions, some categories going to specialized libraries.

Moscow has major specialized libraries: the State Public Scientific and Technological Library (GPNTS), the library of the Institute of Scientific Information in Social Sciences under the USSR Academy of Sciences (INION), the Central State Scientific Medical Library (TsNSHB), the All-Union State Library of Foreign Literature (VGBIL) and some others. Each of these libraries acquires foreign literature in corresponding branches of knowledge.

The foreign literature collection policy of the Lenin State Library takes into account the activities of above libraries. The main objective of the policy is to get as many foreign titles as possible and maximally satisfy the demands of the readers. Every library commits itself to acquire an optimum amount of foreign editions in its particular branch.

Collection is closely connected with organization of funds. The Lenin LIbrary had to change the internal system of funds to bring it in line with an improved organization of funds in the country which makes it possible to satisfy the information demands to the maximum while reducing the costs. The system of library funds is to be perfected by eliminating duplicate sets from the main funds. A unified fund will comprise a system of active, exchange, reserve and insurance funds. Active funds are placed at immediate service of the readers and library staff. They are divided into sub-categories: library, reference-bibliographic, subsidiary and those for the staff. The main library funds are a basis for library services and depository storage. A continuous study of the library's funds, timely elimination of obsolete, decrepit, narrowly specialized editions and extra copies improve the composition of funds and make their use more effective.

The following editions are removed from the library funds: those which are normally not collected by the library, those stored in more copies than necessary for their category, those exceeding the storage deadline for this particular fund, stereotype editions, individual issues of magazines and sets compiled throughout the year if they have been later turned out in one edition.

The materials are excluded from the funds after studies of readership demands and the use of funds.

Editions which do not correspond to the requirements of a given fund are transferred to some other fund, to exchange fund, or if they are obsolete, eliminated altogether.

Specialized editions outside the reference of the library are transferred to the exchange fund to be forwarded to other libraries in accordance with the appropriate regulations.

Those editions and materials are considered obsolete which have lost their topicality, and scientific or technological value.

Therefore the duplicate funds are excluded from the main funds of the Lenin Library; and from exchange funds those editions and materials are excluded which have not been requested 2 years after they have been submitted for exchange and appropriate information has been published in exchange funds bulletin.

These decisions enable the Lenin Library to exclude materials with low information content from the new acquisitions, stabilize the inflow of documents, save library resources and use storerooms more rationally.

Now that the establishment of the depository system has invigorated the redistribution of literature, next item on the agenda is to develop inter-library loan system, improve libraries' interaction in depository storage, streamline information exchange on low-information specialized literature and transfer part of unused literature to microsystems.

Solution of these problems and introduction of automated information system will enhance the effectiveness of the system of depository storage of library funds.

IFLA, GENERAL CONFERENCE AND COUNCIL MEETING PARIS 1989

IFLA

Division: ACQUISITION AND EXCHANGE

Section/RT: WORKSHOP

159-ACQUIS-5-E

Theme: Burying the treasure

THE DANISH REPOSITORY LIBRARY FOR PUBLIC LIBRARIES

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by

C. H. HENRIKSEN

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DANISH REPOSITORY LIBRARY FOR PUBLIC LIBRARIES 1968 - 1988

Year	1968	1978	1988
Premises in m^2	1.400	2.500	7.000
Permanent staff	2	14	20
Items in stock	15.000	330.000	447.000
Additions this year	15.000	25.500	29.000
Loan requests	0	32.000	52.500
Items lent	0	21.500	63.000
Items recirculated	0	11.000	9.000
Costs in Dkr.	315.000	1.600.000	7.900.000

Folkebibliotekernes Depotbibliotek

THE DANISH REPOSITORY LIBRARY FOR PUBLIC LIBRARIES

There is within the public library system in Denmark a long tradition of cooperation. In a small country with a population of about 5 mill. people living on 45.000 km^2 in 275 very different local communities it is obvious that the common ressources are put to better use in that way. Interlending between public libraries and from research libraries is intense. Cataloguing, public relations, database, binding, library equipment are made by and bought from central institutions, run by the local governments and the public libraries. Inspired through many years by the State Inspection for Public Libraries new ways have been found and rationalization measures have been worked out. Many new schemes have been set up as experiments, temporarily financed out of special government funds, and if proved useful, later to be converted to permanent institutions with their own financing.

This is also the history of the Repository Library. Its creation reflects the rationalization measures that have taken place in the Danish public libraries since the middle of the 1960s. The idea of having a storage or repository library was neither new, nor original, indeed rather obvious for a public library system like the Danish, but very few, if any, of this kind had ever been set up anywhere. There was nowhere to go to learn how to do it, it had to be a question of trial and error. A prototype of an experiment, well suited to the establishment of new schemes, as used in other cases.

And thus it was decided to start The Danish Repository Library for Public Libraries. Planning was begun by a small committee in 1967. It was decided to house the new institution at The Royal Danish School of Librarianship, which at that time was moving to new and spacious premises. The offices etc. of the library were to be at the ground floor of the school buildings, with the stock located in the cellars. Staff was from the beginning planned to be very limited, growing with the stock and opening of services.

In the summer of 1968 notes to all public libraries of the new opportunity to handle surplus and older books were sent out, the first staff taken on, and spacious shelving, or so it seemed, was put up in the cellars.

And the books came pouring in from all over the country. At the beginning a few libraries had reservations about sending books and giving up their owner's rights, but soon all public libraries, from the smallest in rural areas to the very big in the cities, were participating. No specific guidelines regarding the types of books wanted in the Repository Library were sent out, all books in good physical condition were welcomed.

Work during the first years of the library was naturally concentrated on simple unpacking, registering and cataloguing the incoming books. A joint computer catalogue for the Danish public libraries was at that time still a thing of the future, and to publish a special catalogue of the stock of the new library was considered too costly. It was therefore decided from the beginning to make the simplest catalogue possible: an internal card-catalogue, with only one card for each title. When possible, the old cards delivered with the books were used, otherwise cards based on our own cataloguing containing only the basics: author, title, publisher, place and year of publication, classification number, number of copies wanted and actually held. Just enough to identify a title and decide what to do about it, when it was next delivered or wanted in circulation.

The arrangement of the books on shelving in the magazines was the object of some thought. The Repository Library was planned to be closed to the public, the staff working with loan requests and deliveries sent by post. The books could therefore be placed in the way that seemed the most economic. An arrangement in a continuing numerical order, numerus currens, was rejected because it would render the circulation process more difficult and because it would be more efficient to have all copies of a single title placed together on the shelves, and all the copies could not be expected to be delivered at the same time. It was therefore decided to arrange the books alphabetically under the main groupings: non-fiction, fiction, childrens fiction and periodicals. Non-fiction was again divided into the ten main subject groups and within these arranged alphabetically.

The use of compact-shelving was considered but dismissed. Stock circulation was expected to be fairly heavy, demanding almost daily access to all parts of the shelving. The use of compact-shelves, which had to be moved continuously would be a hindrance to effective use. An ordinary arrangement of shelves was therefore chosen.

After a couple of years adding to the stock, it was considered large enough to initiate the circulation service with about 100.000 volumes. The use of this new library service was taken up by the libraries around the country from the beginning, and the circulation has been rising year by year ever since corresponding with the increasing stock

What was to become a major problem for the loan service - the lack of an accessible catalogue - was obvious from the start. The only existing catalogue was the simple internal card-catalogue to which the borrowers, the libraries, had no access. They had to send "blind" requests to the Repository Library, and order a book in the hope that it actually was in stock, but without certain knowledge. The result of this was that many of the requests were sent in vain, usually about 40-50% of the total for a given year, and that the work undertaken by the libraries as well as the Repository Library in making, sending, controlling, and answering all these requests would be wasted. Another problem with this system was that the stock was not used to the full extent of its capacity, because the sending of requests would depend on the librarians unconfirmed belief that any given book was or was not included in the stock of the Repository Library. This resulted in just as many requests sent in vain as requests not sent at all, although they could have been fulfilled, as it was demonstrated when the first catalogue eventually was published.

Shortly after the inception of the circulation service, the Repository Library took up the third of its planned main functions: a redistribution service. The books delivered from the libraries become the property of the Repository Library, with a right of disposal according to its wishes. This is of course essential for running the library. The books will at delivery be assessed, a number of copies will be included in the stock, surplus copies will, if in good condition, be offered in redistribution to other libraries or public institutions, and some books in very bad condition will be destroyed.

The redistribution has enjoyed widespread interest and use from its start. It came quickly to cover not only all public libraries in the country, but also research libraries, different types of schools, and a number of varying institutions serving the general public. The lists of books offered in redistribution are always returned from their 900 recipients with requests for far more copies than are available. The redistribution service is, as are all other services from the Repository Library, free of charge.

Having begun all three of the planned main tasks of the new institution: joint stack, circulation service, and redistribution service, it was soon obvious that the experiment should be made permanent. This was also the outcome of deliberations of the government committee set up to prepare a new library act. The committee's report recommended that the Repository Library be made a permanent part of the library system of Denmark as laid out in the Library Act.

The passing of the new act was, however, delayed until 1983, and the Repository Library had to live with the conditions of an experiment turned permanent. It was from its inception established as an independent institution with a governing board representing establishments and interests within the library world, and most of its operating costs were financed by funds set aside for experiments in this area. The delay of the passing of the new act meant that the library could not have its statutes revised, could not consider new premises when the original turned out to be much too small, could not hire the staff necessary to handle the growing demands on its services, and could not initiate new projects such as becoming a repository also for records and music tapes.

The worst problem was the limited space. This meant not only that it quite literally became difficult to find room for new books on the shelves, but it also became impossible to revise and rationalize work processes and systems which had turned out to be awkward, though seemingly sensible when planned. Temporary solutions such as extensions in nearby buildings were found, but working conditions at the library grew gradually worse, reaching a point near suffocation.

But in 1983 the new library act was passed. The Repository Library became a permanent, government-financed institution. At the same time funds were found to make possible a move to new and adequate premises on the outskirts of Copenhagen. The new law also meant that money for the necessary extra staff could be granted.

New statutes were drawn up, defining the library as an independent institution connected to the Ministry of Cultural Affairs and governed by a board whose members are appointed by the ministry, as supplier of funds, and the local governments, as providers of the contents of the library. A committee of librarians representing various institutions and organizations acts as advisor to the board, which in turn appoints a director to manage the library. The operating costs are granted from the state budget. The tasks of the library are defined as "receiving, preserving, lending, and otherwise disposing of books and other library material removed from the collections of the public libraries".

New premises were found in a one-storey building of 8.000 m^2 in a suburb, 20 km from the centre of Copenhagen. 36.000 m of shelving with room for up to 60.000 m was put up, and office space built for the extended staff of 20. The Central Library for Immigrant Literature, another independent institution serving the public libraries is also housed in the building. The two institutions are governed by the same board and the same director.

These premises and the existing shelving will be able to house the library and its stock for many years to come, without any problems of space. When the move to a new building was planned, it was on the assumption that the shelving, at the outset, would be less than half filled with books, thus ensuring that the continuing extending of stock, which is part of the purpose of the library, could go on without problems and without much work put into moving stock around to find space for new books, for a period of at least ten years.

After the move had made it possible, the stock was rearranged into three groups fiction, non-fiction, and periodicals, all arranged alphabetically. Parts of the shelving was set aside for sorting incoming books before registration, for the redistribution service, for building up a limited stock of surplus copies for redistribution when need arises, for the new services such as repository for records and music tapes and for talking books, which became possible with the new premises.

The improved space and working conditions made possible a number of small rationalizations in the day to day work processes, especially the sorting and registration of incoming material. This meant that restrictions on delivery from the libraries could be lifted, and that the process of cataloguing and preparing the books for circulation could be speeded up, without adding to the staff.

A committee at the Ministry of Cultural Affairs was set up to look into the Repository Library and suggest improvements and new developments. The committee's report suggested, among other things, that improvement of the circulation service was of primary importance and that this should be accomplished by setting up a computer catalogue as soon as possible. A suggestion as to a temporary solution was to make a simple microcard edition of the existing card-catalogue, thus giving the libraries the opportunity to see for themselves for the first time what circulation possibilities lie in the Repository Library.

The new and rather primitive microcard-catalogue proved a great success. The outcome was as expected a sharp rise in circulation (more than 50% within two years) and an even sharper fall in the number of futile requests (to about 3%) This showed clearly that some sort of direct access to the library's catalogue was essential for its users. It was decided to set up a database as soon as possible, encompassing the total number of titles, and in the meantime to register all new titles in the stock in the now existing central library database.

Folkebibliotekernes Depotbibliotek

For some years all periodicals, all books in foreign languages, and all sheet music in the library had been registered in central catalogues and databases, when such were set up. The records, music tapes, and talking books had from the start of these services been registered in the central database, and special catalogues covering these areas were produced. Only the stock of books was not "modernized".

The central library computer-catalogue in Denmark contains all Danish books published after 1970, and in addition a selection of older titles, and titles from smaller catalogues, such as periodicals, sheet music etc. The stock of the Repository Library naturally consisting for a greater part of older titles, it would prove very costly to add to the central database. It was therefore decided to proceed registering additions to the library in the central base, but to create a special database for the Repository Library, in a rather simple form based on standard library soft-ware. All the library's books and periodicals, and at a later date also recorded music etc., will be included in the base. It will be used for internal work and for the redistribution service, but the main purpose will of course be to make all information about the stock accessible on-line for the use of borrowing libraries. The new system will, after a period of retrospective updating, be fully operative in two year's time. At that time the contents of the database will also be available on microcard for the benefice of libraries without computer-access.

When the database is established, the Repository Library will be fully modernized, housed in adequate premises, and covering all areas of a library of its type. It is and always has been a repository for the public libraries in Denmark. There is no comparable institution in the research library sector. The possibility for setting up a repository is now being considered, and one of the questions for the committee on this problem is to look into the possibility of using the existing repository for this area also.

C.H. HENRIKSEN

IFLA GENERAL CONFERENCE AND COUNCIL MEETING PARIS 1989

Division: ACQUISITION AND EXCHANGE

Section/RT: WORKSHOP

160-ACQUIS-6 E

Theme: Burying the treasure

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INTRODUCTION: THE PROBLEM OF THE NEED

by

Maurice B. Line

(One page)

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BURYING THE TREASURE

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Introduction: The Problem and the Need

Maurice B Line

Public and industrial libraries have always disposed of material that is little used or no longer wanted, and academic and research libraries are increasingly being forced by pressures on space to consider disposal. There is a serious danger that items disposed of will become totally unavailable, unless some means of storing them is provided, since some of the material may be unique. Much of it will not however be unique, and in national terms space can be saved by discarding duplicates.

Several solutions are possible, from a cooperative decentralized system involving many libraries through regional repositories to a single national repository. The last is much the most cost-effective but it may be difficult to achieve for economic, administrative or political reasons. Similar reasons may make it necessary to have separate systems for research and public libraries. Requirements for a good solution include good storage conditions, conservation and preservation facilities, and the ability to supply material to other libraries.

Questions that need to be answered are:

- Who will pay for repositories? The state, cooperating libraries or who?
- Should <u>everything</u> be kept, and if it is not is confidence in the system damaged?
- Should a repository system be self-standing or linked to (eg) the National Library?
- How should a repository system relate to national acquisition and document supply systems?
- What scope is there for international cooperation?

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Division: ACQUISITION AND EXCHANGE

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Theme: Burying the treasure

BIBLIOGRAPHIC CONTROL AND INTERLENDING ASPECTS

by

G. GATTERMANN

(one page)

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Repositories as an element in national resource planning.
Bibliographic control and interlending aspects.
By Guenter Gattermann, Universitaetsbibliothek Duesseldorf.

The German Wissenschaftsrat has published "Empfehlungen zum Magazinbedarf wissenschaftlicher Bibliotheken" just ten years after a University Grants Committee Working Party had produced a report on "Capital provision for university libraries" in the UK.
The "Magazinempfehlungen" (1986, 98 p.) were followed 1988 by a second report "Empfehlungen zur retrospektiven Katalogisierung an wissenschaftlichen Bibliotheken. Konvertierung vorhandener Katalogaufnahmen in maschinenlesbare Daten", that take up the thread of the first report again.
The"Magazinempfehlungen" advise government authorities to restrict capital grants for new library buildings or extensions and to invest in 10 to 12 national and regional repository libraries primarily. But the report is not only concerned with the problems of lacking storage capacity in research libraries, but also intends to change the structure of the German library community as a whole, because a national repository system could not be planned in isolation.
Most of the far reaching proposals of the "Magazinempfehlungen" have been decisively rejected not only by librarians, but also by the academic community, because only very vague criteria were given for the relegation or the retention of library material. Also the problems of standards for maximum size of university libraries were not adequately treated.
To achieve a national repository planning and to solve problems of relegation and retention a massive use of computers and a national programme of retrospective conversion of records from card catalogues into machine readable format and input into regional and national databases for periodicals and monographs are strongly advocated. The Wissenschaftsrat means that bibliographic control is a prerequisite of national repository planning and an indispensable tool for any good acquisition and deacquisition policy in a decentralized system of national resource sharing.
The Wissenschaftsrat recommends that for retrospective conversion government authorities should allocate the sum of 150 million DM in a period of about ten years. Several feasibility studies are in work.

Division: Collections and Services

Section/RT: Interlending and Document Delivery

138-INTL-2-E

Charging for inter-library loans: a proposal of no interest?

Divisional Open Forum Report:

Section on Interlending and Document Delivery

by

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Etienne Hustache

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Charging for inter-library loans: a proposal of no interest?

Many see inter-library loan charges as threat to the principle of freedom of access to man's intellectual heritage and fear that resources will be transferred from poor libraries to richer ones. Since meeting the needs of the public will henceforth require a high level of inter-library loan activity, the quality of service of the principal lending institutions must be maintained. Only charges to the borrowing libraries can guarantee the maintenance of quality services. No transfer of resources takes place if the charge covers only the direct costs of providing the service. The borrowing library should incorporate inter-library loan payments into its overall acquisition policy and refrain from passing the charge on to its readers.

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Charging for inter-library loans: a proposal of no interest?

by

Etienne Hustache

When I was asked to present a paper on the reasons for charging or not charging for inter-library loans, I was told that the content was to provoke discussion. Therefore, it seemed only natural to give the paper a title that refers - in French and English at least - to one of the biggest controversies in history, that of the legitimacy of loaning money for interest. Both debates involve a mixture of moral and economic arguments that almost invariably produce an explosive reaction when they are brought together.

The frequent uneasiness with regard to this question stems from the contradiction between one of the fundamental tenets of our profession - to permit access to man's intellectual heritage whithout discriminating on the basis of money - and the decision of many libraries to charge for inter-library loans. The lending libraries charge in an attempt to control the explosion of requests addressed to them, which can, in some cases, disturb the operation of institutions, especially during a period of budgetary restraint. For their part, the borrowing libraries are tempted to pass this additional cost on to the reader making the request, believing that their budgets will not allow them to do otherwise.

Since it is one of the central elements of the debate, it seems useful to touch on the larger question of readers paying for the services provided by libraries. There is broad consensus that libraries are one of the essential instruments for the preservation of mankind's intellectual heritage. For this reason, access to their collections should be open to everyone without discrimination. It is generally acknowledge that as an instrument of culture and

public education, libraries contribute to raising the general level of knowledge, in the interest of society as a whole. Any payment required from the reader is, in term of this approach an obstacle to the achievement of this objective.

On this basis, the large majority of libraries, whether financed by public funds or by patrons, should refrain from asking for any payment for their services. The most serious criticism raised against this reasoning is based on an analysis of library clientele: individuals belonging to average-and high-income groups are over-represented, which tends to prove that common taxes are financing the cultural consumption of wealthier citizens. However, this is tantamount to likening library collections to pure consumer goods, and disregarding their educational role. If the objective is to raise the average cultural level because it is socially beneficial, it is important to increase library use. Without even discussing the validity of this criticism, it is clear that the institution of charges for the services rendered would do nothing to increase library use and would immediately deter the very people that libraries are trying to attract. Possible compensatory measures would be difficult to implement and would only partially offset the negative effects.

The arrival in libraries of new documentary media and new research techniques that are expensive to acquire and to use has provoked debate on the advisability of charging for these new services, and raised the question of how the additional costs are to be borne. To choose not to offer the new services would be to give up a share of the mission of libraries that might be critical for the future. It has been suggested that these services, by their very newness, provide added value in comparison with conventional services rendered without compromising any principles.

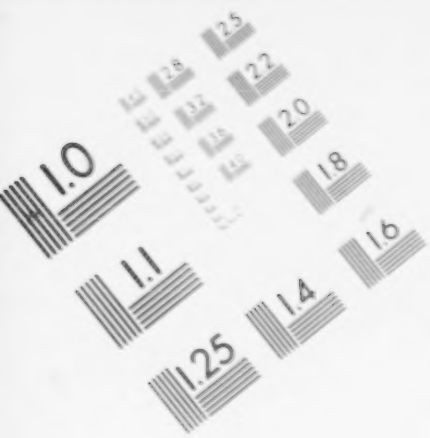
Public libraries are particularly affected by this debate since it is there that the principle of free services

is the most firmly entrenched. On the report of a specialized working group, the section concerned accordingly had the Brighton congress pass a recommendation to the IFLA regarding charges for services in public libraries. The principle of no-charge consultation and borrowing of documents, including the help and advice of the librarians, is upheld by the recommendation. In addition, the recommendation states that the practice of passing charges along to the user of computerized research should be limited to the value-added services that he specifically requested. Without attempting to analyse all the implications of the recommendation, I would like to draw attention to the following points:

- The recommendation concerns all documents without distinction as to nature or medium.

- The concept of value-added service is not defined. Nevertheless, when applied to computerized documentary research, it is understood that computerization resulting in equal service does not justify a charge. In addition, if the value added cannot be separated from the basic service, there can be no charge for it since the user who benefits from it cannot choose to forgo it.

The extraordinary growth in inter-library loans began with the realization that the explosion of documentary sources to be consulted had made it impossible to achieve even partial self-sufficiency. It is only by pooling all their resources that libraries can hope to provide satisfactory access to the knowledge available. The very object of the program of Universal Availability of Publications (UAP) is to encourage this sharing and to try to improve the conditions of document circulation between libraries. The idea that libraries constitute a cultural heritage common to all is further strengthened by the flow of exchanges that binds them. To borrow an image, when the local well can no longer meet the demand, we are accustomed to turning on the tap that provides access to distant resources.



AIIM

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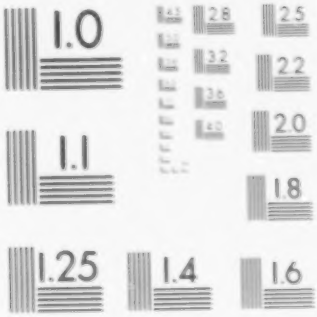
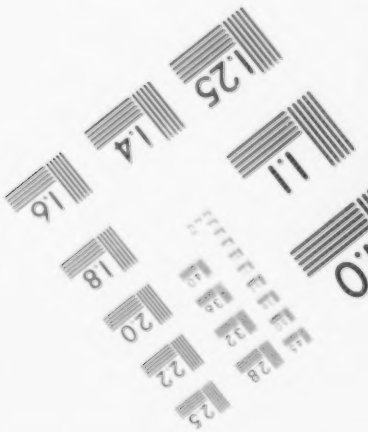
Silver Spring, Maryland 20910
301/587-8202





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In this context of solidarity, free service seems only natural. It is seen as a virtual expansion of the clientele of one library to include the readers of all the others without differentiating by nature or treatment. Moreover, the idea of mutual aid appears to be incompatible with payment, both because reciprocal service is expected and because it is often seen as a means of compensating for disparity in terms of wealth or development. Since each library is bound to have recourse to the collections of others in order to satisfy its clientele and depends upon the good will of the other institutions (nothing is forcing them to lend the documents), the best way to guarentee this good will is to give proof of one's own. Under these conditions, it is difficult for a request for payment to be seen as a friendly deed. And since one good turn deserves another, everything will work out in the end.

Numerous libraries are financed by public funds. Many people in the field see this as a basic argument against charging for inter-library loans. Why arrange for financial transfers between organizations whose budgets ultimately come from one and the same source: the pocket of the taxpayer? There is even reason to fear that this practice will turn out to be not only useless but harmful, to the extent that it will aggravate the inequalities between libraries. The richer libraries, through the size of their collections and acquisition budgets, being more likely to be in possession of the documents sought, will increase their resources through the requests of the poorer ones, who will become even poorer. Thus, while the accidents of history and geography deprive some readers of proximity to a large library, their handicap will be augmented by a decrease in the resources of the one to which they have access, while others more favoured from the start will see their advantage strengthened. This situation would be even worse that a library that charged for services, where all the readers would at least pay the same price for the same service!

Aside from the moral and legal arguments against harging for inter-library loans, the practice would create practical difficulties. First of all, the charge itself involves a management cost. The preparation of invoices, receipt of payments and following-up claims are all quite expensive procedure. Moreover, the lower the amount demanded and the higher the number of clients, the greater the cost of charging. This is specifically the case of inter-library loans: no matter what level the price is set at, each transaction represents an amount that is not very large in relation to the cost of an invoice. It is especially difficult to recoup the human and material investment required, because most other services provided by a library are free.

If it goes against their interests, if it creates adverse effects, if it is complicated and expensive to put in place, why have more and more libraries begun charging to provide documents to other institutions? The primary cause is, of course, the increase in the volume of transactions and the high level that it has now reached in many countries. As long as the volume remained insignificant compared to the rest of their activities, the lending institutions absorbed the additional workload without any problem. They even considered it an opportunities to make better use of the resources of their collections; it was an additional justification for their existence and a source of external prestige acquired at little cost. With the increase in demand, this generous attitude has changed: henceforth, the provision of documents to other institutions can no longer be carried out solely during the slack periods of staff activity. Its cost becomes evident in the amount of staff required.

5(13)

With the appearance of new techniques, it is not only in the area of manpower that the cost of providing the service becomes visible. The widespread use of photocopiers has led to the sending of the photocopied articles rather than of periodicals themselves. This practice offers undeniable advantages, but its own cost cuts into the operating - and even the capital - budget of the library. The receipt of requests using telex and then electronic messaging networks or specialized management systems, will from now on also affect the budget not related to staffing.

The increase in the overall cost of inter-library loans would not be a problem for lending institutions if the volume of documents provided were comparable to that of the documents that they requested form outside sources. Although the major lending institutions are borrowing more than in the past, even an approximate balance between lending and borrowing is rare. In France, for example, such a balance exists in only ten per cent of university libraries. In a context of rapid growth in inter-library loans, the imbalance is increasing, creating uneasiness among those in charge of the libraries whose documents are most often solicited.

They are made all the more uneasy by the fact that, in many countries, the explosion of requests has coincided with a period of budgetary restraint. Institutions have had to establish their priorities. Faced with the difficulty of continuing to provide service to ordinary users - those who come to the library to consult or borrow documents - they could either let the quality of the inter-library loan service deteriorate, refuse to lend documents to all or some of the parties requesting the service, or require a user fee. Those who decided to charge for providing documents to other institutions undoubtedly felt that their primary responsibility was to maintain a satisfactory speed of access to their collections.

Should this practice - apparently dangerous to the principles that govern the operations of libraries - be allowed to spread, even though it may seem to arise purely out of current economic conditions? In fact, economic crises and budgetary restraint do not last forever. If the purchasing power and the operational means of libraries were restored or increased, it is possible that the demand for inter-library loans would be reduced or at least stabilized. Even if the difficulties continue, would it not better to redouble our efforts to persuade public authorities and administrators that libraries are teaching and research tools that represent the best way of surmounting the economic crisis?

Unfortunately for this argument, the reasons for the increase in inter-library loans are largely independent of the stagnation or reduction of the purchasing power of libraries. To begin with, there are the well-known consequences of the rise in the number of publications. But there is also a real growth potential, due to an improvement in the quality of service. Many readers, either through ignorance or because they were put off by the uncertainties and the time required to fulfil their requests, have not made use of inter-library loans in the past. The organization of effective long-distance supply services, the expansion of union catalogues, the shortening of the transmittal time and a better knowledge of the possibilities offered have revealed this latent demand. Otherwise, how can we explain the fact that the countries with the best library networks are also - and by far - those in which inter-library loan services are the most highly developed?

Most libraries that have decided to charge other institutions for inter-library loans have acted out of necessity, being unable to continue to do otherwise.

However, there are positive reasons for implementing charges and the arguments against this practice are not as solid as they appear. In my opinion, the main point is the following: if you consider that the inter-library loan has become indispensable to offering a complete range of services to the public, and acknowledge that the volume of transactions may stabilize or increase at a more moderate rate in some countries, but will in no case decrease, then it is absolutely necessary that the quality of service provided by the principal lending institutions remain stable and if possible improve.

It is inevitable that a small number of institutions receive large share of the demand, because their collections are large and better known than others, because they are able to organize themselves better to provide rapid service, or because it is simpler to always address one's requests to the same supplier. The operation of the entire system depends on their capability and willingness to continue the service. If this capability and willingness disappear or weaken, it is the end user who will suffer, since a high level of inertia is characteristic of the inter-library loan circuits. Before other less inundated suppliers are identified (and this is not always possible) the quality of service will have decreased and some of the readers, discouraged, will have given up on the service. Everyone will agree that decreasing the demand by cutting off the supply is a poor way of resolving the problem - a method very similar to a doctor breaking the thermometer because he is unable to bring a patient's fever down.

The best way to ensure that the lending libraries continue to provide documents is for them to receive fair compensation for their expenses; this compensation should be directly related to the activity carried out. In other words, they must charge for inter-library loans. It is not a matter of making a profit: the argument denouncing a

transfer of resources from the poor libraries to the rich ones is not valid if the price asked corresponds to the real cost. But would it not be possible to obtain the same result by increasing the budgets of the supplier institutions - a process that could be carried out by the government? This would clearly be a much more uncertain method, which presupposes an accurate forecast of the requirements. Moreover, I am convinced that the local user will always be given priority over the more distant user. Paradoxically, only inter-library loan payments can guarantee that there will not be a transfer of resources to the local user! An improvement in service can even be expected: complaints about poor quality services are much more likely to be heard if there is a charge for the service.

For the suppliers, the conflict between the reading room and inter-library loans is more than just a matter of natural preference. The considerable resources available to many libraries are the direct result of choices made by local decision-makers. This is clearly the case with large documentation centres for industry and may also be true for local public libraries and university libraries. If a city has decided to make a special effort for its libraries, the people may well find it unfair that the citizens of other cities are benefiting: after all, maybe elsewhere the libraries are neglected in favour of the football team! One can criticize this selfish, petty or unfounded reaction. Nevertheless, it does represent a real risk if it seems that loans to other libraries are becoming a significant burden for which there is no compensation.

From the point of view of the institutions making the requests, are the disadvantages of inter-library loan charges as critical as one might have thought at first glance? It must be remembered that a loan request is in fact nothing more than a substitute for acquisition. Loans are requested for three reasons: the document is no longer

available from the publishers and book stores; it is impossible to acquire the document in time for it to be useful to the reader who needs it; or the probability of its use is too low in relation to its acquisition cost. The money spent to pay for inter-library loans will certainly not be used for acquisitions. But a request corresponds to a real and immediate need on the part of the user, who will be satisfied if the supply network functions well. Moreover, aside from a nucleus of much-used documents, it is difficult to predict how much a given document will be used.

In saying this, my objective is not to demonstrate that most libraries should refrain from forming local collections, becoming instead ordering offices, nor that the reader is as satisfied when he has to wait at least a week for a document instead of finding it immediately available. Moreover, it would be quite ridiculous to maintain that it is possible to widely substitute inter-libray loans for on-site consultation and borrowing: the respective volumes of activity are not at all comparable. It simply seems to me that fulfilling an inter-library loan request is preferable to having a book lie unused on the shelf. Even an acquisition policy that is highly attentive to the needs of readers cannot guarantee one hundred per cent use of a library's collections. Considered from this angle, the use of inter-library loans becomes a means of satisfying the public in the same ways as a purchase; it is one element of a comprehensive management policy.

If one acknowledges that payment for inter-library loans by the borrowing libraries represents an inevitable change, indeed a desirable one, all that remains is to determine how to calculate the price and on what basis. I have already said that, in my opinion, any notion of profit for the lending institution should be ruled out. Specifically, this means that the purchase, cataloguing, binding and conservation of documents - all of which fall

into the catagory of the local activity of a library - should not be included in the cost element. By definition, these costs are not associated with the inter-library loan itself. Only the direct costs should be used as the basis for calculation, including the personnel involved, that being the principal cost item.

This type of calculation is not always easy to carry out. In addition, the results may vary significantly from one library to another. If each library establishes its own price scale, the result will be great confusion; instead of facilitating inter-library loans, we will only increase the operational difficulties. Once again, it is not a matter of establishing a commercial operation: price competition would not make sense. It is also not necessary to try to reimburse the lending institution for the exact cost of the inter-library loan. It is sufficient that the price paid be high enough to encourage the library to continue its activity. This is why I think it is necessary that cost analyses be carried out by the principal lending institutions of a given country and that they be used as the basis for discussions to establish a common rate. These institutions are, in effect, the best qualified to carry out such studies. Moreover, they have, in principle, the lowest unit costs per loan transaction, since the scale of their activities enables them to establish an appropriate organization. At the same time, economical billing methods will be sought: billing thresholds, grouped bills, refundable coupons, calculation of the billing elements by the computer system managing the requests, and so on.

But it is imperative for the coherence of the system that inter-library loan charges be systematically applied everywhere? I do not think so. It would be a mistake to think that charges imposed by the large suppliers would divert extensive traffic toward smaller institutions that were continuing to provide free services. As I have

mentioned, the inter-library loan circuits are not very flexible. Moreover, what counts most is the probability of satisfying requests and the speed with which they are processed. The risks of adverse effects are limited and if a library finds that there are more disadvantages than advantages to charging for inter-library loans, it need not charge just because other libraries are doing so. There is also nothing to prevent groups of libraries from making special agreements to reduce prices or even provide free services, as long as the agreements are in their best interests and are based on a well-thought-out policy.

So far, discussion has centred on charges between libraries and not on charging the end user for the inter-library loan. This is because the two matters are quite separate. I hope that I have shown the similar nature of an acquisition and a loan request (although they are not interchangeable); this means that it is no more scandalous for a library to pay for one than for the other. But if we follow this line of reasoning, there is also no difference between consulting a document found at the library and obtaining another through an inter-library loan. The Brighton recommendation upholds the principle of free consultation and borrowing of all library documents without distinction. Therefore, there is no reason to make a reader pay for the use of a document obtained through an inter-library loan. The matter is a little different when photocopies are used, since most libraries charge for any photocopies made. Thus, it is justifiable to request payment for an interlibrary loan when the document is provided through photocopies. But strictly speaking, the reader should be charged the local rate for photocopying and not the price charge by the library that supplied the document.

One might object that applying the Brighton recommendation to inter-library loans will cause a demand regulation problem. But this problem is not specific to inter-library loans. All libraries or almost all limit the number and duration of the loans to which their readers are entitled, without feeling that they are violating any principles. The same type of restriction can easily be used here.

In concluding this examination of the issue, I do not expect to have convinced everyone. The lending institutions who have not (or not yet) succumbed to the pressure of necessity will likely be tempted to adopt a position of principle that reinforces the common ideal to which we all attach a great importance. The borrowers will be able to reproach me for asking them to put their necks in the noose while smiling at the hangman. Nevertheless, I am convinced that the public interest demands this painful examination. As for the moral principles, they are not in question. Collecting money in a library will not make usurers of us, provided that we are able to keep cool heads.

IFLA GENERAL CONFERENCE AND COUNCIL MEETING PARIS 1989

Division: Collections and Services

Section/RT: Serial Publications

42-SER-3-E

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ISDS Exchange Format

by

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ISDS EXCHANGE FORMAT

RESUME:

ISDS (International Serials Data System) exchange format is a specially adapted means of communicating bibliographic data on serial publications within ISDS, an international system organised as a network and with various outside users.
Its use enables the ISDS Register to be kept up to date. The presence of the ISSN and the key-title makes this Register the reference file for the identification of periodicals and an effective tool for ensuring that the periodicals data-base is consistent.

ISDS EXCHANGE FORMAT

0 INTRODUCTION

Exchange format is closely linked to the history and function of ISDS. The network structure of ISDS made it necessary to devise a type of information with a standardised form and content. This was emphasised from the very beginnings of the system.

Today the exchange format is the principal vehicle for circulating the bibliographical data managed and disseminated by ISDS. A brief outline of ISDS will illustrate its importance.

1 OUTLINE OF ISDS

1.1 *Objectives*

ISDS is an international information system whose object is to identify serial publications by a code, the ISSN, thus enabling bibliographic information to be exchanged with optimum reliability, efficiency and economy.

1.2 *History*

Following the resolutions adopted by the UNESCO general conference in 1966 and 1968, the idea of an "international system" responsible for establishing and maintaining a Register of periodicals titles took shape in 1970 with the preliminary feasability study prepared by INSPEC for the UNISIST/ICSU AB working party.

This study recommended the creation of an international serials data system organised as a network.

It also defined a set of common bibliographic data for the system and suggested a standard machine-readable format. Together these constitute ISDS exchange format.

In 1974 a final agreement reached between UNESCO and the French government made the functioning of the CIEPS (INternational Centre for Recording Serial Publications) in Paris official.

1.3 *Operational structures*

The network consists both of the International Centre which

-runs the automated file known as the ISDS Register, ensuring that it is consistent and up to date.

-disseminates the information contained in the international file to the national centres as well as to the other users outside the network.

-coordinates those of the network's activities which affect common rules, standards, work methods, projects....

-ensures a close coordination between ISDS and several international organisations such as ISO or IFLA.

-assigns ISSN and creates records for publications from countries which do not have an ISDS centre or for publications originating from international bodies.

and of 52 National Centres which:

-undertake the identification and bibliographic control of publications and record them in order to augment their own national files of ISDS records as well as the Register.

-respond to current user demand.

-cooperate in the various national or international programmes which use ISDS bibliographic data.

1.4 *The ISSN: International Standard Serial Number*

The International Standard Serial Number is, in a sense, the *raison d'etre* of ISDS since this code is managed exclusively by the

International Centre in order to provide a unique identification for each periodical.

ISO standard 3279 describes its structure and requires that it should be printed on each volume according to very precise regulations.

A key-title, a constructed form of the title, is assigned at the same time as the corresponding ISSN. Only one key-title (and therefore one periodical) may correspond to a given ISSN and vice versa.

2 SPECIFICATIONS FOR THE ISDS EXCHANGE FORMAT

2.1 *Standards and references*

ISDS exchange format is of the US-MARC(S) type, it uses MARC structure and some of its tags.

The specifications implemented on the computer and bibliographic levels are in accordance with the ISO, UNISIST, ISBDS(S) standards and regulations or, in cases where no standard exists, with the most common usage within the network.

In this respect ISDS plays an active role in the elaboration and revision of the standards which affect its format. Its participation in the work on ISO transliteration standards for Arabic, Cyrillic and Thai and its collaboration in the work of ISBD(S) to harmonise the cataloguing of records are just two examples.

2.2 *Structure and coding*

As with all MARC formats, the structure of the ISDS exchange format conforms to one of the possible implementations of ISO standard 2709-1981 and consists of:

-a record label (or leader) of fixed length (24 characters) defining the values of the various parameters necessary for processing the record.

-a directory of variable length proportional to the number of data fields, each entry (12 characters) includes a tag to identify the field, its length and its position in the record.

-two control fields of fixed length containing various codes and ending with a field delimiter.

-bibliographic data fields of variable length preceded by two indicators and ending with a field separator. In contrast to the control fields these bibliographic fields may be divided into subfields.

An ISDS record may contain 24 different tags corresponding to 79 pieces of basic data (subfields and codes belonging to the control fields).

The coding of characters follows ISO standards 646, 5426 and 2022. An extended 8 bit table consisting of 173 different characters including 77 diacritics or special characters is therefore used.

2.3 *Bibliographic content*

An ISDS record contains identification elements:

-the ISSN (tag 022)
-the key-title (222)
-the abbreviated key-title (210)

ISDS is responsible for these obligatory elements and manages them.

elements describing the publication:

-various codes (008) such as: country, language, frequency, type of publication, alphabet of the original title.
-CDU (080) or CDD (082) classification
-title proper (245)
-variant titles (246)
-place of publication (260)
-publishing bodies (550 and 710)

-links with other publications such as former titles (780), successor titles (785), editions in other languages (759 and 769), supplements (779 and 789), sub-series (762).

It is worth noting that these linking fields are expressed in the form of the pair ISSN and key-title in fields identified by 9 different tags.

and elements concerning the creation of the record:

-date of creation (008)
-version number and date of correction (012)

Data is recorded in the original language, non-Latin scripts are first transliterated into the Latin alphabet (plus diacritics).

The cataloguing conforms to the standards in force at the international level, such as the ISBD(S) standards.

2.4 *The maintenance of the exchange format*

Since 1973, the adaptation of cataloguing rules to developing standards and needs has made it necessary to modify the format in ways which affect the content of the records. One example is the addition of fields which the network deemed necessary, such as the title proper field which did not originally appear in the format. Another is the adoption of new rules for transliteration, as was the case for Cyrillic, entailing the revision of thousands of titles in the file in 1988.

All problems concerning the format, whether bibliographic or automation problems, are discussed within the framework of the annual meetings of the ISDS Centre Directors. Proposed revisions which have been circulated in the centres are discussed there. Suggestions which have already been submitted to the network as a whole are adopted or rejected there.

Modifications to the format generally involve a great deal of work and such decisions must take the needs and interests of all the users into consideration. As far as the automation aspect is concerned, any changes must be made compatible with the existing system and must include a period of transition which is acceptable to the members of the network and to the external users.

Any modification which is likely to affect the MARC structure or involve the creation of a new tag is submitted to the MARC office in Washington to avoid any subsequent incompatibility.

2.5 *Documentation on the exchange format*

Exchange format is described fully in the "ISDS Manual" which is almost 250 pages long. The first part, describing the organisation of ISDS, is followed by a second part dealing with the operational aspects which we are dealing with here, including, amongst other things:

-a description of the ISDS record

-cataloguing rules used with relevant examples

-a description of the data transmissal sheet which is the manual form of the exchange format

-a description of exchange format on magnetic tape.

-a list of the various standards used.

The Manual was published in 1983 and has since been the subject of a certain number of amendments distributed on loose leaves. Reference versions are available in English and French. There are also translations into various national languages such as Spanish, Chinese and Hungarian used in the National Centres.

A new, completely revised edition of the ISDS Manual is now under consideration.

3 THE USE OF ISDS EXCHANGE FORMAT

3.0 The exchange format constitutes a basic component of the ISDS system. It is not only a uniquely adapted means of circulating ISDS

data within the system, in order to keep the ISDS Register up to date, but also of disseminating the data to the various external users.

3.1 *The ISDS Register*

The International Centre is responsible for the central file, the ISDS Register, which it manages, taking especial care that it remains consistent.

Each record submitted for inclusion in the Register is not only checked for its conformity to the exchange format specifications but also for consistency with regard to the contents of the Register. This avoids different ISSN being assigned to the same publication, and the recording of identical key-titles.

If the title of the record which is being checked is identical to a key-title already present in the Register and identifying a different periodical it is given an additional element to distinguish it.

This additional element may be the place of publication, or the date of first publication. The title thus constructed is the key-title of the publication submitted for inclusion.

On the 2nd May 1989 the ISDS Register contained 456,000 records. It grows at the rate of about 40,000 a year and the number of records corrected one or more times a year is 60,000.

3.2 *Collecting and disseminating data*

Within the network the National Centres send their records to the International Centre in order to keep the Register up to date; excluding all other forms or media this is done:

-either on tape; 13 Centres send us tapes representing 60,000 records or corrections on a monthly, quarterly or half-yearly basis

-or on sheets; the exact equivalent of the exchange format on paper, representing about 24,000 items which are entered for processing.

It is worth mentioning that the most productive centres send us their data on exchange tapes and that their number increases each year.

The International Centre sends quarterly updating tapes of the ISDS Register, containing about 20,000 items, to the automated centres.

Users outside the network also subscribe to the Register in the form of exchange tapes. These are either libraries or subscription agencies or information centres which use all or part of the ISDS record.

Some examples of projects based on the use of tapes in ISDS exchange format are:

-The NOSP, Union Catalogue of Scandinavian Countries which includes over 111,000 records distributed amongst 600 libraries.

-The CCN, the French National Union Catalogue with 474,000 periodicals 188,000 of which are distibuted amongst 2,750 libraries.

-The ACCIS catalogue which led to the publication of an index of 4,000 periodicals published by 38 United Nations agencies.

The International Centre also publishes the ISDS Register on microfiche.

3.3 *New media*

In order to enable centres which do not have large computer resources to communicate by magnetic carriers, thus eliminating the processing of paper slips for good, ISDS has undertaken tests of the exchange procedures on 5 1/4" and 3 1/2" disks conserving the logical structure of the present exchange format. These supports will be introduced into day-to-day use in 1990 and will enable the data to be recorded more rapidly onto the Register.

Similarly, the feasability of an ISDS CD-ROM including the possibility of retrieving records directly in exchange format is under consideration. This new ISDS product will give access to the Register from a micro-computer.

4 AROUND THE EXCHANGE FORMAT

4.1 Compatibility with CCF, ISDS and UNIMARC exchange formats

Here the compatibility with CCF and UNIMARC formats is considered solely from the point of view of the organisation of data and the conservation of their integrity.

The structure of ISDS format is closer to UNIMARC than to CCF; the latter includes directories of 14 characters (instead of 12 for the other two) containing segment identifiers and occurrence identifiers, data specific to CCF which have no equivalent in an ISDS record.

These two formats (UNIMARC and CCF) include data which express the relation between fields such as the 080 and 085 tags in CCF, and the generic subfield $6 in UNIMARC, these relations cannot be reproduced in ISDS.

Moreover, the number of bibliographic elements concerning periodicals is greater in UNIMARC and CCF than in ISDS format.

This first approach thus makes it possible to state that bibliographic records dealing with periodicals which use all the possibilities offered by the UNIMARC and CCF formats will lose in complexity as a result of the simplicity of ISDS format.

A second approach is to consider the ISDS record as a source record and to see whether it can be converted into a target CCF or UNIMARC record. The result of the reconversion back into ISDS exchange format is then checked to see whether the information has been preserved intact or not.

The following conclusions may be reached, based solely on the specifications of the different formats:

-all the elements of the ISDS data have an equivalent in UNIMARC, the conversion is reversible without any loss.

-the link fields are more specific in ISDS than in CCF, ISDS can be converted into CCF, but in some cases the reversion may not be

complete and may cause the identity of the information to be impaired. However, if one only considers the ISDS data which is strictly obligatory, such a record is reversible.

4.2 *Specific uses of ISDS exchange format*

It is not possible to embed one record within another in ISDS exchange format as it is in the other two formats (see the segments in CCF). However, relations with other periodicals are expressed in the form of the ISSN which is an equivalent process and one which is far easier to use.

A breakdown of the composition of an ISDS record reveals three main parts:

-the first is represented by data in the form of codes (country, language, frequency,....)

-the second is represented by textual data (title, place of publication, publishing bodies,....)

-The third, represented by the ISSN, functions as a system of pointers towards other data.

Using ISSN as pointers allows the management of a periodicals data-base to be significantly improved, both by the space saving it brings and by the possiblity of introducing self-checking functions.

Considered in this light, ISDS exchange format is a uniquely adapted vehicle for the ISSN, which is itself a tool for managing a data base.

4.3 *Exchange and ISDS exchange format*

ISDS exchange format can be considered a simple format, its structure is linear, it has no links between fields, the number of data elements is limited and the area is well targetted. This simplicity makes it possible to pin-point problems arising specifically from the exchange process, problems which are often masked by the complexity and richness of the formats in use.

For example, the various participants in the exchange are usually tied to their own cataloguing and recording systems. The internal processing of their data leads to different methods of elaboration and maintenance. The sender and the receiver perceive the development of data according to their own practices and often know nothing about those of the correspondent.

Exchange formats rarely include elements of management history which could remedy these shortcomings.

The experience of a well-structured, functioning network shows that the standard type of documentation is insufficient, even if it is of high quality;

-all the members of the network must have access to a description of their correspondents' information systems in order to evaluate the potential problems in use.

-it would be useful to draw up a list of elements taking account of the history of a record, to be integrated into a format in order to improve the dynamic aspects of its use without altering its exchange function.

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